PRISON STAFFING
ANALYSIS

A TRAINING MANUAL

With Staffing Considerations
for Special Populations

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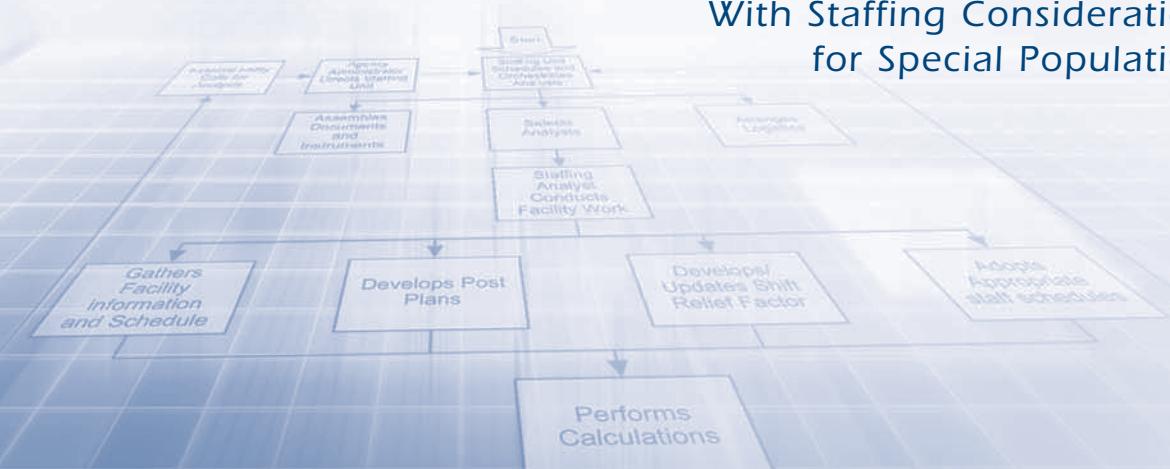
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FOREWORD

Correctional staffing and workforce issues have been at the forefront of topics addressed by the National Institute of Corrections (NIC) for a number of years. One way that NIC helps correctional administrators and officials address these issues is to make informative analyses and training materials available to correctional professionals so they may better understand effective staffing practices.

Staffing issues have become more critical in the face of reductions in state revenues and pressure from labor organizations and the courts to provide additional staff to supervise and manage prisoners, particularly those with special needs. Prison administrators have been searching for precise methods to deploy staff appropriately, effectively, and economically.

NIC's *Staffing Analysis Workbook for Jails,* now in its second edition, has proven valuable to jail administrators for years. Numerous prison administrators have also used this workbook and participated in the Institute's seminar on prison staffing analysis. *Prison Staffing Analysis: A Training Manual With Staffing Considerations for Special Populations* makes use of the concepts and constructs of the workbook and is informed by a number of articles and supplementary materials from the staffing analysis seminar.

The unique character of this training manual, however, is attributable to research. The manual benefits from the responses of correctional agencies to four national surveys that sought information about staffing analysis in general, staffing of medical units and facilities, staffing of mental health units and facilities, and staffing of facilities for women. Consequently, the manual's discussions of the staffing analysis process take current practices into account.

The manual is also enriched by the experiences and best practices of representatives from exemplary and diverse staffing analysis programs. As a result, it includes practical staffing considerations for women's facilities and for units that house special populations such as inmates who are chronically ill or disabled and inmates who need residential mental health care.

Prison Staffing Analysis presents achievable models for establishing a staffing function at both the agency and the facility levels. It demonstrates a thorough staffing analysis process built on sound policy and procedure and structured analytical methods. The manual also offers detailed guidelines for developing and evaluating posts and special guidelines for staffing housing units. It will serve as a substantive training tool and valuable reference for prison administrators and officials who are responsible for assessing and analyzing their facilities' or systems' staffing requirements.

Morris L. Thigpen
Director
National Institute of Corrections

PREFACE

Modern corrections has come a long way from the days when wardens used their own rationales for deciding which and how many security staff would work where and when in their prisons. For many years, the art of staffing was an oral tradition that evolved in whatever directions were necessary to deal with staff needs and requests, financial issues, and governmental interest.

All that has changed. The growth of the prison population has required more complex management of corrections. Decreases in the amount of money available for government functions, particularly corrections, have led to increased governmental scrutiny of staffing requirements because personnel costs make up the largest portion of operating budgets. External pressure for more staff comes from collective bargaining units and prison litigators, while competing governmental agencies and taxpayer groups think prisons have too many staff. Increasing pressure for accountability has caused correctional administrators to develop methods to ensure that staffing complements are planned and managed not only for safety, but also for economy and efficiency.

Sources

This manual adapts the *Staffing Analysis Workbook for Jails* to the prison environment, adding value by drawing from the following additional sources:

- Materials from NIC's prison staffing analysis seminar.

- Nationwide inventories of security staffing analysis practices in facilities and/or units that house the general population of male offenders and those that house female, mentally ill, and chronically ill offenders.

- Focus group input from staffing analysis and special populations experts.

- Numerous publications, departmental policies and procedures, and other materials pertaining to staffing and populations.

Features

Of special importance to prison agencies will be the agency perspective found throughout this manual as well as fine details and nuances that come from the

experience of staffing professionals who have developed, implemented, and improved exemplary processes. The manual includes the following features:

- Examination of current staffing issues relevant to correctional agencies.

- Guidance for correctional managers in setting up security staffing as a systemic and ongoing function of a correctional agency, including:
  - Agency policy.
  - Organizational structure.
  - Data management.
  - Processes for orchestrating staffing analyses at the agency level.

- Detailed information on how to conduct a staffing analysis, including:
  - Discussion of the characteristics that influence staffing.
  - Instructions on how to calculate shift relief factors for use in evaluating posts.

- Comprehensive step-by-step instructions and practical application for establishing and evaluating posts that includes:
  - Checklists and interview questions that will inform recommendations for changes to and improvements in posts.
  - Tips on writing staffing analysis reports and implementing and monitoring recommended post changes.
  - Discussion of the implications of custody classifications for the appropriate intensity of inmate supervision.

- Special focus on the fine points of staffing housing units, including:
  - Detailed, housing-specific considerations.
  - Prototypical housing unit staffing.
  - The economics of staffing housing units.
  - Housing unit diagrams that demonstrate alternative methods of staffing.

- The best and current thinking, considerations, practices, and tips with regard to staffing women's facilities, mental health units, and units for chronically ill and disabled inmates.

- Tips gleaned from practitioners' best practices.

- A glossary of terms related to staffing analyses.

- A comprehensive bibliography.

- Prototype data collection instruments that agencies can tailor to meet their unique needs.

Organization

The format of this manual is designed to be suitable for either instructor-led training or self-administered training on both agency- and facility-level staffing analysis processes. The guidance in these pages will enable an agency staffing administrator to set up an agency staffing analysis unit and produce a staffing analysis report for an entire agency.

The first five chapters, which form part 1, address the elements that constitute the foundation for managing prison security staffing from the agency level: a policy for security staff deployment, the method of managing the staffing function (centralized versus decentralized), the responsibilities of an agency staffing unit, the basic tasks of a staffing analysis, and the preparation necessary for conducting the analysis.

Part 2 of the manual, comprising chapters 6 through 14, covers the process of conducting a staffing analysis. Chapters 6 and 7 discuss how agency and facility characteristics and operations and activity schedules influence staffing. Chapter 8 describes how to develop the shift relief factor for each facility, an important piece of information used to determine how many staff should be available to cover all posts. Chapter 9 takes readers step by step through the basic post evaluation and planning process, providing detailed instructions on how analysts should review and make recommendations for all posts in a facility. Chapter 10 lays out special considerations that analysts must keep in mind when evaluating housing units, and chapter 11 looks at how staff scheduling affects staffing. Chapters 12 and 13 explain how to perform staffing calculations and how to develop staffing reports based on the post planning exercise. Chapter 14 concludes part 2 with a discussion of implementing the recommendations made in the post plan and monitoring results.

The last two chapters in the manual, which comprise part 3, address special considerations in the staffing of facilities for women (chapter 15) and medical and mental health units (chapter 16). Both chapters examine current security staffing practices, based on the findings of nationwide inventories conducted in 2004 in conjunction with the development of this manual. Chapter 15 identifies unique needs of female inmates that may affect security staffing practices and discusses considerations regarding the use of male staff in correctional facilities for women. Chapter 16 identifies issues that may affect the security staffing of medical and mental health units and discusses how the administrators of these units collaborate with security officials to address these issues.

ACKNOWLEDGMENTS

This project was spearheaded by the late Susan M. Hunter, who was Chief of the National Institute of Corrections' (NIC's) Prisons Division from 1985 to March 2004, when she died of cancer. She was committed to the adequate and efficient staffing of prisons in the United States and was extremely interested in and concerned about the adequacy of security staff in women's prisons and medical and mental health units. She did not live to see the results of this work, but we present this training manual to the field of corrections in remembrance of her passion for excellence in corrections.

Many of the concepts and constructs in this training manual come from the work of Dennis Liebert and Rod Miller, who authored the second edition of NIC's *Staffing Analysis Workbook for Jails.* Much was gained also from Gail Elias and John Milosovich's very informative article "Allocation and Deployment of Personnel."[1]

Many thanks go to 36 state correctional agencies throughout the nation that responded to an inventory of their current staffing analysis practices and provided descriptions of exemplary practices in prisons. Many of these agencies sent policies and procedures, reports, and materials that have been used in developing this manual.

Three groups of expert practitioners, chosen from state corrections agencies that exemplify excellence in staffing analysis, participated in focus groups to contribute to this work:

Security Staffing Group

Joseph Chapdelaine, Major, Department of Correction, Connecticut

Byron P. Decoteau Jr., Human Resource Manager, Louisiana Department of Public Safety and Corrections

Judy Rickerson, Director of Human Resources, State of Kansas

E.L. Sparkman, Deputy Commissioner of Institutions, Mississippi

Randy Watson, Assistant Commissioner, Division of Corrections, Maryland

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[1] Gail L. Elias and John Milosovich. "Allocation and Deployment of Personnel" (NIC Prisons Special Seminar, Lafayette, CO, 1999).

Women's Prisons Group

Susan Davis, Acting Warden, Robert Scott Correctional Facility, Michigan

Doris Deuth, Warden, Kentucky Correctional Institution for Women

Brian T. Underwood, Warden, Pocatello Women's Correctional Center, Idaho

Victoria Voris, Major, Indiana Women's Prison

Pamela Williams, Deputy Director, Correctional Institutions Division, Texas Department of Criminal Justice, and former warden of the Women's Facility

Medical and Mental Health Group

Susan Martin, Director, Health Services Division, Massachusetts

Debbie Nixon-Hughes, Mental Health Administrator, Ohio

Robert Powitzky, Ph.D., Chief Mental Health Officer, Oklahoma

James Upchurch, Bureau Chief Security and Institutional Support, Florida

INTRODUCTION: CORRECTIONAL STAFFING ISSUES

There is nothing simple about security staffing issues in corrections—they are important, they are interrelated, and they are dynamic. Staffing analysis is critical to facility safety and security and vitally important to expenditure containment. It cannot be taken too seriously by those who make decisions about an agency's or facility's posts. The important overriding issues for correctional security staffing are as follows:

- Risk of harm.

- Shrinking fiscal resources.

- Management challenges.

- Correctional change.

- External interest and control.

All of these issues point to the importance of ongoing staffing analysis in correctional agencies.

Risk of Harm

Safety is the most talked about issue in corrections.

Supervising inmates in correctional facilities is risky for all concerned. Physical plants and equipment provide barriers and control as long as there are staff to use them. Policies and procedures have proven to be powerful control tools in keeping inmates from harming citizens, one another, and staff in correctional facilities, but staff must enforce them. Inmates greatly outnumber staff at any given time in a correctional facility. How many staff are enough to preserve order and maintain control?

Although risk is not highlighted as a determinant in this training manual, it is alluded to on almost every page. Much of the decisionmaking associated with staffing involves how much risk is tolerable. It is clear to everyone who makes decisions—from the Governor on down—that the number of staff must be sufficient to keep prisoners from escaping and from harming staff, one another, or the public.

In all staffing decisions, risk can override any other consideration about adding or removing staff. Staffing decisionmakers must base their post evaluations and recommendations on sound correctional principles that emphasize correctional agencies' mission to protect the public and to maintain safety and security for staff and inmates. Having a plan that orchestrates the proper placement and functioning of all security staff at all times so that no one gets hurt and no one escapes during facility operations, programs, and services is no small accomplishment.

Shrinking Fiscal Resources

Money is the second most talked about issue in corrections. In government, nothing happens without money, but few are eager to pay for services. Although the cost of services has soared, governmental revenues did not increase in many jurisdictions during the past decade. Without enough money to fund agencies at existing service levels, governing bodies have slashed their budgets year after year. In addition, competition for shrinking tax dollars increased dramatically during the past decade, and legislatures forced to choose between paying for education or for corrections have been more likely to fund the former. It is even more difficult for taxpayers to think generously about taking care of prisoners, especially if they believe the money will be used for anything other than keeping the doors locked.

In corrections, staff is the most indispensable, most important, and most expensive resource. By an overwhelming amount (some say 70 to 80 percent), security staffing dominates corrections operating budgets.[1] In an era when corrections is not a popular area in which to spend money and jurisdictional authorities scrutinize every tax dollar, correctional agencies look for every opportunity to economize. In spite of best efforts to improve staffing efficiencies, correctional agencies are called on regularly to reduce their security forces to lower costs. When administrators have to reduce their budgets by 5 to 10 percent each year, staff positions soon become a prime target for cuts.

During the national focus group meetings that contributed to this work, staffing experts asserted that post plans drive correctional personnel costs even more than leave policies and practices do. A decision to eliminate a single post in a housing unit can reduce the budget immediately; for example, a post that operates 24 hours a day all year long costs, on average, approximately $150,000. Every post an analyst adds or deletes has significant impact on an agency's budget.

For some correctional administrators, the pressure increases during each budget cycle. Budget reductions often continue until the governing body perceives more risk than can be tolerated. Administrators continuously look for more, different, and better ways to save money on staffing without reaching an intolerable and

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[1] Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

dangerously low level of supervision. Conducting a sophisticated staffing analysis is their most promising method of examining staffing costs.

Management Challenges

Many management problems are due to a lack of funds that would enable the manager to have the right people in the right places at the right time doing the right things. Money, however, is not the only issue. Equally challenging staffing issues for managers involve post planning, use of leave, staff turnover, and inservice training.

Post Planning

If post planning is done incorrectly, managers may find themselves battling excessive overtime and compensatory time, dissention among staff, job dissatisfaction, and resignations. Staffing analysts must be able to develop efficient post plans and to troubleshoot posting problems. Too often, agency analysts rely on historical post plans instead of considering all posts with an eye toward finding opportunities for improvement. Knowing which modifications will bring about the most efficient and economical post plans requires some depth of understanding about posting. It is important to the manager to make the most of the number of posts for which the legislature is likely to provide funding. Thus, comprehensive training for the staff responsible for post plans is critical.

Use of Leave

The use of leave (including unauthorized and unscheduled leave) and other types of absences (e.g., attendance at training, military service) clearly affects the number of positions required to cover a post. Serious staffing problems result when strategies to maximize leave use have been institutionalized. If managers truly want to minimize the number of positions required to operate facilities, they must reduce the use of leave across all positions. (Under normal circumstances, for example, every employee will not use all allowable sick leave every year.) Strategies for reducing the use of leave are almost as important as reducing the number of posts, because leave use determines how many relief positions are required for post coverage.

Staff Turnover

Vacancies can dramatically affect the availability of staff to cover posts. Regaining coverage can be delayed by the processes of recruitment (which can last more than a month), training (a number of weeks), and orientation (with a buddy officer). Staff resign from corrections jobs for various reasons, many of which can be advantageous to managers (such as unsuitability for the work, fear of prisoners, difficulty with paramilitary authority, and addictions). The types of turnovers that cause problems are due to stress burnout, too many inmate assaults on staff, forced overtime, lack of proper training, and lack of quality supervisors. When

problematic turnover becomes a regular occurrence, morale suffers, the word spreads, vacancies occur, and recruitment becomes difficult.

Inservice Training

Although inservice training reduces the availability of staff to cover posts, effective and regular training can prevent many staffing problems, such as persistent vacancies. On the other hand, staffing problems can prevent managers from providing necessary training. Inservice training should not be seen as a luxury, but as a necessary component of the staffing function.

Correctional Change

Corrections is not static. Leaders, missions, prisoner characteristics, facilities, resources, security requirements, programs, and schedules change, and change frequently. Any of these changes, or others, can prompt a staffing adjustment. Consider, for example, the following situations:

■ A new commissioner may redistribute inmates among facilities according to a new housing unit assignment plan, generating the need to reexamine staffing in a number of facilities. Any number of leadership and philosophical policy changes may call for more or less staff.

■ If more serious crimes are represented in the inmate population, the custody level distribution may change, prompting the adjustment of the number of units or facilities for each level. This will affect the number and types of posts in each facility.

■ If the average daily population (ADP) increases, more facilities may be needed and the custody level distribution may change, which also will affect the number and types of posts in each facility.

■ If ADP decreases, the number of staff and units or facilities may decrease as well, or opportunities may arise to raise the level of staffing at each facility. Decreases in ADP may also change the custody distribution.

■ If the number of elderly or chronically ill inmates in the population rises, a facility may need to be dedicated to their care. This shift may diminish the number of security staff required but increase the required number of medical care staff.

■ If the treatment needs of a specific inmate population require a specially trained cadre of officers who cannot rotate from the unit, inservice training requirements will change and the scheduling scheme may be disrupted, which in turn may require increased staff availability to relieve other posts.

Post Plan: *A listing or chart of all permanent posts in a facility by location, primary function, priority, classification, and hours of operation.*

- If a facility's design and space configuration are renovated or enlarged, the number of posts and post descriptions will probably change.

- If perimeter security systems are installed to replace staff towers, fewer posts and positions will be required.

- If schedules for meals, visits, programs, or other services change, some posts may change in terms of their existence, workload, collapsibility, and so forth.

- If workforce stability is disrupted by the loss of many positions, the staff's behavior may become unstable and unpredictable; for example, the number of resignations, incidents, and use of overtime may increase dramatically.

Correctional managers must be prepared to accommodate changes that affect staffing. They may have to redeploy or reschedule staff, request additional staff, or do whatever is necessary to maintain a viable workforce.

External Interest and Control

Correctional administrators often comment that external forces are as difficult to manage as the staff and inmates in the facilities. The numerous outside forces that affect staffing are staggering. The obvious examples are the many laws, codes, and standards that regulate the management of prisoners and facilities. Staffing analysts should be aware of these forces and how they affect staffing work. Consider some of the external pressures:

- Media coverage of incidents or investigations generates pressure on managers and higher governing officials to establish posts in perceived trouble areas of a facility.

- Collective bargaining unit agreements may require unrealistic staffing ratios (e.g., 1 staff post for every 25 inmates), which may translate into overstaffing in many areas of a facility. Bidding of posts and post schedules has long interfered with evenhanded decisions about staff deployment.

- Court orders or consent decrees/settlement orders may require that post plans be approved for an indeterminate number of years by a court master, monitor, or overseer.

- State and federal regulations may dictate staffing levels based on principles that can be at odds with sound correctional practice.[2]

- Standards imposed by sanctioning/licensing bodies may require a specific number of staff for certain functions.

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[2] To cite the extreme example, under equal opportunity laws, a female officer might be required to conduct strip searches of male inmates.
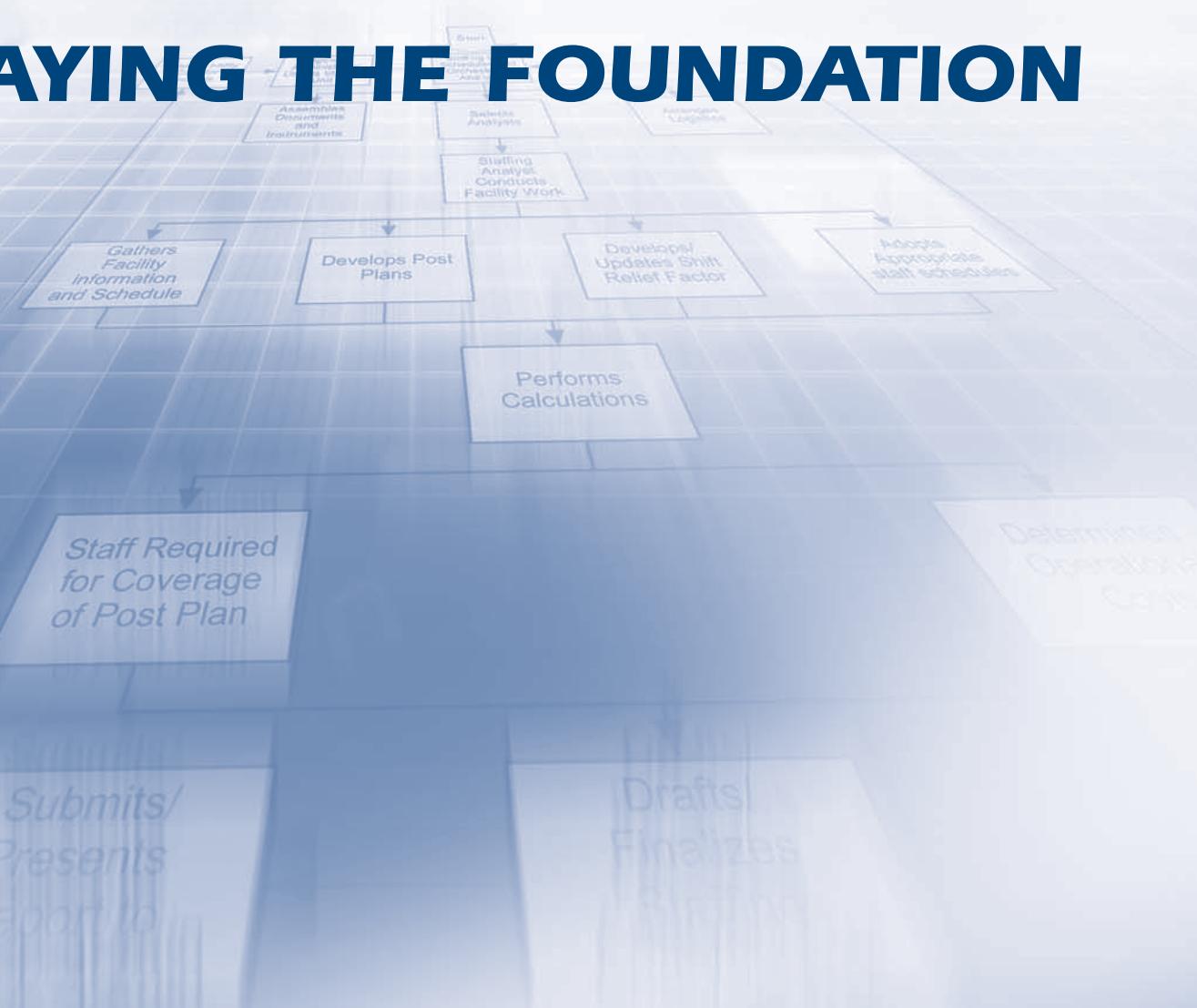
The Need for Ongoing Staffing Analysis in Correctional Agencies

There is no indication that the staffing issues discussed here will go away. Both external and internal interests in how correctional facilities are staffed are high, but external scrutiny and regulation of funding for correctional agencies have reached a point where staffing resources must be justifiable for a myriad of reasons at any point in time.

Correctional administrators in a number of jurisdictions slash their budgets regularly. Many of these cuts come from their personal services budget, begging the question, "At what cost is such a savings to the safety and security of staff and inmates in the agency's facilities?" The answer depends on the decisionmaker's skill in balancing the needs of security and cost containment. Having a cadre of staffing experts in an agency or access to correctional consultants who know how to make posting decisions is critical to safe and economical corrections.

LAYING THE FOUNDATION

Part 1. Laying the Foundation

Chapter 1. Security Staff Deployment Policy

Chapter 2. Two Models for Managing the Security Staffing Function

Chapter 3. Agency Staffing Unit

Chapter 4. Basic Tasks of a Staffing Analysis

Chapter 5. Orchestrating the Staffing Analysis

CHAPTER 1
Security Staff Deployment Policy

The starting point for staffing accountability and efficiency is a policy on security staff deployment. This policy should include the following components: a policy statement, a statement of the authority for the policy, definitions of key terms, a description of how the agency is organized to enforce the policy, procedures for staff deployment, and copies of the forms and other materials used for each procedure.

Policy Statement

The policy statement expresses management's approach to the organization and operation of the agency workforce and should be carefully crafted. The statement need not be long or comprehensive, but it must inspire confidence that staff deployment will be objective, structured, efficient, economically prudent, consistent, and fair. Following is an example of an effective policy statement:

> [Generic Agency] shall deploy adequate numbers and types of security staff to ensure the safety and security of staff and inmates, to conduct security operations, and to secure correctional services, programs, and activities. Security staff shall be deployed in a uniform, fair, and consistent manner to ensure the efficiency and cost effectiveness of facility operations.

Statement of Authority

The policy should state the authority behind it, including the official, the statute, the applicable standard-setting entity, and any agreements to which the correctional agency is bound by courts or other external organizations. For example:

> Commissioner's Office, pursuant to SL 1234. Article 3, State Minimum Standard 321, ACA Standard 123, *Court Order Inmate* v. *Agency*.

Definitions of Key Terms

All terms used in discussing deployment should be clearly defined. It is best to avoid jargon and adopt professionally recognized nomenclature. Definitions

should be written clearly and precisely in a way that anticipates and eliminates the potential for ambiguity, as in the following example:

> *Master roster:* A master roster is a deployment schedule prepared in advance on a monthly basis for each shift that lists all approved posts and staff assigned to them.

Organization for Policy Enforcement

The policy should describe how the agency is organized to implement and enforce the staffing policy. The following questions should be addressed: Will there be a special unit or department in charge? Will the agency head be involved in drafting and implementing the actual procedures, or will a deputy, chief of security, or other official oversee the policy? Will facility-level personnel be active in drafting and reviewing the procedures, or will agency-level staff have sole responsibility for creating the procedures? Following is an example:

> The DOC Staff Deployment Unit, constituted by a major, two lieutenants, and administrative staff, will be in charge of implementing staff deployment procedures, conducting periodic staffing analyses, and making any necessary modifications to agency staffing plans.

Procedures

The policy should describe how staff deployment will be managed and which methods and materials will be used to accomplish efficient staffing. The procedures should include enough detail so that even if the policy is not explained during training, staff can understand the sequence and requirements of the tasks to be completed (see exhibit 1, below). If materials/forms are to be used, the methods for using them should be described in detail and samples included as attachments. The following types of procedures should appear in the staff deployment policy:

- Performance of a staffing analysis:
  - Frequency.
  - Process.
  - Materials.
  - Training.

- Development of a shift relief factor:
  - Leave and absence studies.
  - Calculation of staff availability.

- Development of post plans:
  - Guidelines for post evaluations (prioritizing and classifying posts; calculation of days; shifts, hours, relief).

- • Completion of post evaluation instruments.

- • Procedure for adding and deleting posts.

■ Calculation of full-time equivalents (FTEs) required for post coverage.

■ Staff assignments and scheduling:

- • Master roster.

- • Daily roster.

- • Scheduling cycles and patterns.

■ Automation of staff deployment:

- • Frequency of data entry.

- • Reports available.

■ Production of staffing reports:

- • Frequency.

- • Topics.

■ Ongoing monitoring and evaluation.

■ Provision for facility-specific procedures.

■ Training in staff deployment:

- • Staff to be trained.

- • Content of training.

Tip: Use the *staff deployment policy and procedures as a reference during training and implementation and to monitor and evaluate performance.*

Findings of the Staffing Inventory: Of 35 responding agencies, only 25.9 percent said they had policies and procedures that they thought other agencies might wish to emulate (see appendix A).

Exhibit 1. Sample Assignment and Scheduling Procedure: Daily Roster

A daily roster shall be completed for each shift in accordance with the master roster. All post assignments on the daily roster shall be recorded and any deviations from the master roster during the shift shall be noted. The daily roster shall be prepared and maintained at the direction of the shift commander.

Any posts covered by overtime shall be indicated on the daily roster.

For each shift, the shift commander shall certify that personnel for that shift worked the hours and assignments reflected on the daily roster.

The shift commander shall retain a copy of the daily roster for 2 years.

The deputy warden of operations shall review the daily roster and forward it to the Office of the Warden.

Forms and Materials

Blank copies of the forms used for each procedure should be included as attachments to the staffing deployment policy along with other supporting materials for completing each task. Forms and materials should be given names that clearly identify the associated tasks. Blank copies of the forms used in this manual are provided in appendix B.

CHAPTER 2

Two Models for Managing the Security Staffing Function

The management style of the agency's correctional administrator and the resources available determine how the administrator will organize the security staff deployment system. There are two basic models for managing the staffing function: centralized management at the agency level and decentralized management at the facility level that is regulated by the agency.

Centralized Management
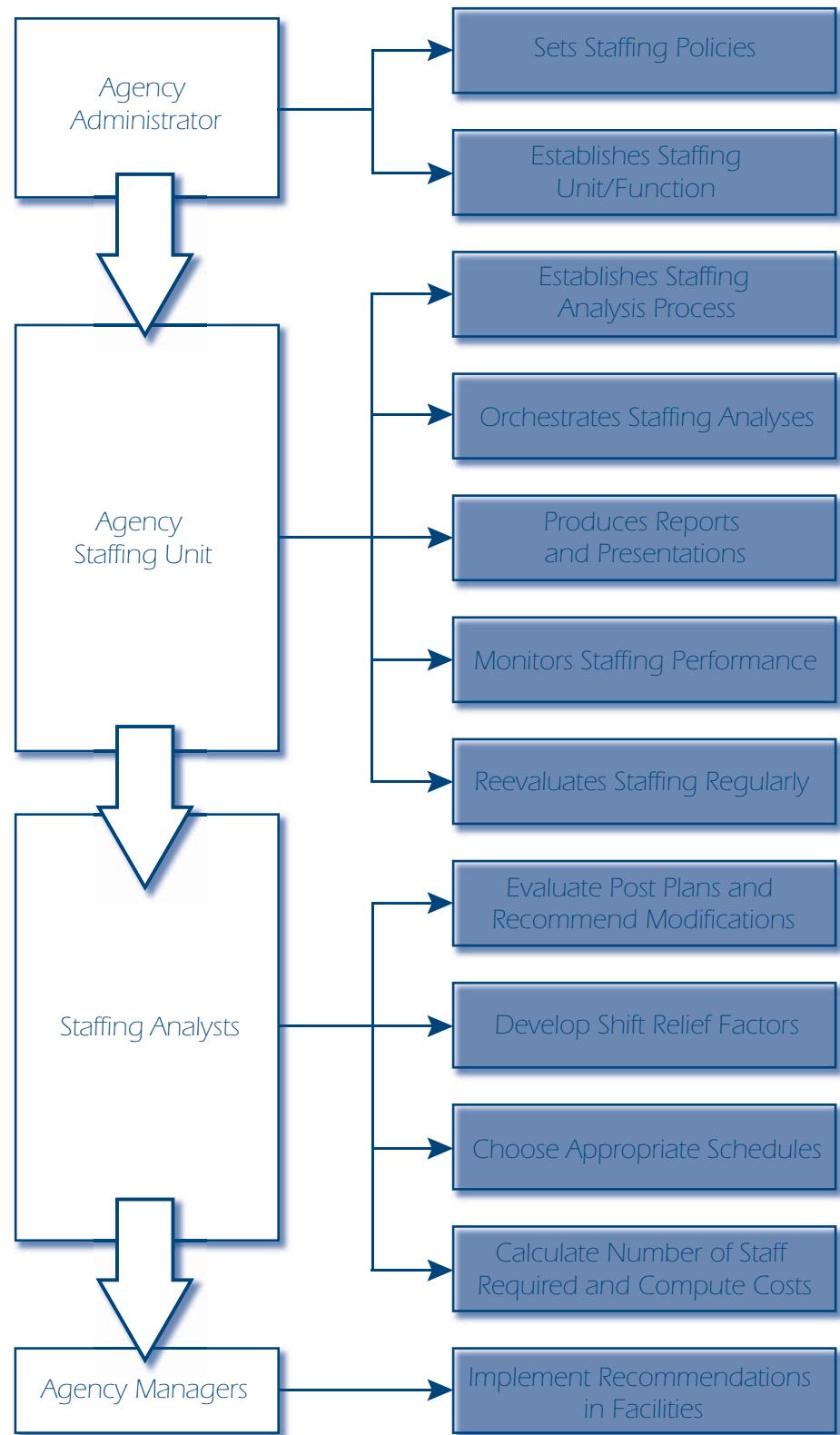
If the agency is large and its organizational structure complex, centralization of agency functions at a central office and perhaps again at regional offices is likely. At the central office, there may be a security staff deployment unit made up of agency security staffing experts who organize and conduct staffing analyses throughout agency facilities and monitor deployment functions (see exhibit 2). Not all agencies have such a unit; there are degrees of sophistication nationwide, depending chiefly on the size of the agency and/or the sophistication of the state agency bureaucracy. However, even in smaller and less complex agencies, the administrator can centralize staff management on a smaller scale to ensure that the staffing policy is observed uniformly across all facilities and that agency funds are spent economically.

Final decisionmaking concerning increases, decreases, and modifications in security post plans is extremely important to the agency. The designated decisionmakers, however, may vary among jurisdictions according to the size of the agency and the complexity of its organization and also its historical staffing practices. In larger agencies where the division of labor is more layered and more specialists are on staff, the agency administrator may insist on making the final decisions, but the deputy administrator for operations or institutions will more likely take that responsibility, signing off on staffing analyses and studies done by others, whether agency staff or consultants. In smaller agencies that operate in a less layered manner, the agency administrator may be more directly involved in staffing.

Findings of the Staffing Inventory: *Of 35 responding agencies, 56 percent reported having a designated position responsible for the management of staffing (see appendix A).*

Tip: *Staffing decisions should be made at as high a level in the agency as possible. The punishment for overspending and for negative staff-related incidents is usually leveled at top administrators, so they should make the decisions for which they will be held accountable.*

Exhibit 2. Model Agency Staffing Function

Agency Administrator	Sets Staffing Policies
	Establishes Staffing Unit/Function
Agency Staffing Unit	Establishes Staffing Analysis Process
	Orchestrates Staffing Analyses
	Produces Reports and Presentations
	Monitors Staffing Performance
	Reevaluates Staffing Regularly
Staffing Analysts	Evaluate Post Plans and Recommend Modifications
	Develop Shift Relief Factors
	Choose Appropriate Schedules
	Calculate Number of Staff Required and Compute Costs
Agency Managers	Implement Recommendations in Facilities

Centralized management of security staffing is ideal because it:

- Maintains the objectivity of staffing studies.

- Provides uniform staffing across facilities.

- Facilitates a fair and equitable distribution of staffing resources among facilities.

The responsibilities of an agency staffing unit are discussed in more detail in chapter 3.

Decentralized Management With Agency Regulation

Under a decentralized management model, each facility manages its own staffing and facility wardens are accountable to the agency's central office for their staffing decisions (and sometimes even their own policies). At the time of an agency's budget request or when a staffing issue arises, the agency's deputy administrator for operations directs each facility to conduct a staffing analysis. (In many cases, this analysis is limited to a review of the post plan). These individual facility staffing analysis reports are then combined to calculate the agency's operational budget for the coming year.

A variation on this type of decentralized staffing is regulatory oversight by a designated person at the central office. Such regulatory oversight may be assigned to the deputy administrator for operations or invested in a specially designated staffing position. This person scrutinizes facilities' post plans and receives, researches, and approves or denies all requests for modifications. Some agencies also have this person visit facilities periodically to ensure that the staffing is operating according to the post plan and, if not, to report the situation to the deputy administrator for operations.

Decentralized staffing management allows the agency administrator to maintain some control of staffing in the facilities but limits the agency's ability to organize staff from a broad perspective and track variations in staffing from facility to facility.

CHAPTER 3
Agency Staffing Unit

Ideally, one staff person with considerable experience in correctional operations and hands-on responsibility in staff deployment should be in charge of agency security staffing. A specific rank is not required, but the person should have enough seniority and expertise to be respected by facility administrators. He or she also should have a working relationship with the head of the agency's personnel office (who also may be a candidate for this position if he or she has expertise in operations).

The head of the unit should have enough trained staffing analysts to bear the analysis workload for the number of facilities. The unit may employ one or more permanent analysts, but it may also decide to train staff throughout the agency who then can be drafted for ad hoc analysis work as needed. The number of support staff depends on the size of the agency and its facilities.

Agency Unit Responsibilities

The agency staffing unit has among its responsibilities the following:

- Developing and maintaining all agency policies and procedures for security staffing and staffing analyses.

- Developing and maintaining all instruments and forms to be used for staffing analyses.

- Maintaining all necessary agency documents used for staffing analyses as well as select documents from each facility.

- Approving and holding all established post plans for all facilities.

- Researching and advising facilities on all approved scheduling options.

- Researching and approving/denying all post deletions, additions, and modifications.

- Tracking all current shift relief factors for all facilities.

- Monitoring all current staffing issues in the facilities and patterns that occur agencywide.

Findings of the Staffing Inventory: Of 35 responding agencies, 74.3 percent reported that they have formal add-and-delete procedures that include justifications and modifications, and that these procedures are reviewed by higher authorities (see appendix A).

- Developing and maintaining automation of security staffing for the agency or, if the system is not automated, the methods by which the unit receives information necessary to track staffing in each facility.

- Setting procedures and deadlines for entry of all facility information into the system (or receipt of reports from the facilities).

- Developing initiatives for improvements in recruiting, selecting, and training staff to address documented problems relative to staff quality, absenteeism, injuries, and so forth.

- Developing formats, outlines, and content types for staffing analysis reports.

- Conducting audits of facilities' implementation of the staff deployment policy.

- Planning and scheduling all staffing analyses.

- Deploying analysts to conduct staffing analyses.

- Dictating the preparation for staffing analyses at the facilities.

- Directing the staffing analysis process at facilities.

Facility-Level Responsibilities

At the facility level, the chief of security (or a similar position) presides over security staff deployment. Although this person is not responsible for conducting staffing analyses at the facility, he or she is responsible for the following duties in service to the agency staffing unit:

- Implementing and following all agency policies and procedures for security staffing and staffing analyses.

- Keeping materials used for staffing analyses, such as procedures, instruments, and forms, up to date.

- Maintaining accurate post plans for the facility.

- Implementing approved scheduling options.

- Requesting deletions, additions, and modifications to posts as appropriate.

- Periodically calculating current shift relief factors for the facility.

- Tracking all current staffing issues in the facility.

- Entering appropriate data into the automated security staffing system or, if the system is not automated, submitting appropriate reports regularly.

- Implementing agency initiatives for improvements to address documented problems relative to staff quality, absenteeism, injuries, and so forth.

- Compiling information in the formats required for staffing analysis reports.

- Facilitating agency audits of facility implementation of staff deployment policy.

- Following all facility-level staffing analysis procedures.

- Preparing for or scheduling facility availability and participation in staffing analyses.

- Assisting staffing analysts during the staffing analysis process at facilities.

Automation of Staff Deployment Records

Almost all correctional agencies automate personnel records pertaining to issues such as attendance, payroll, benefits, and performance ratings. Many agencies, however, keep security staff deployment information regarding post plans, rosters, and relief computations separate from personnel records. Agencies often enter post plans, rosters, and schedules on electronic spreadsheets, but probably do not generate automated computations and preplanned presentations of summary data that could inform management's decisionmaking.

Automation enables agencies to record more efficiently the large amounts of data generated by the security staff deployment system; update master and daily rosters, post plans, and similar documents; and perform tabulations at regular intervals. Automated data recording can make staffing data available to management on an ongoing basis, obviating the need to conduct periodic post studies. Agency staffing experts can continually monitor where the needs are, where the staff resources are, what patterns of change are occurring, and how shift relief factors rise and fall. In short, they can focus on improving efficiencies and economies.

An automated staff deployment system should provide for efficient recording and massaging of the data produced by each staff deployment function. The ultimate goal is to keep all staffing information in a relational database that, if updated regularly with all ongoing staffing modifications, can produce an array of accurate reports to inform decisionmaking about staffing. The greater the functionality of the system in terms of the data it can store and the reports it can generate, the more sophisticated the staffing analysis it can support. At a minimum, the system should include the following functions:

- A relational database that allows for all desired comparative and relative computations and statistical treatments.

- Reporting that does not require downloading data to spreadsheet applications and that can draw on longitudinal data.

Findings of the Staffing Inventory:
Of the agencies responding, 38.2 percent said that their staffing procedures are not automated (see appendix A).

- A graphics capability for presenting tabulations.

- Ad hoc reporting capability (i.e., the ability to construct user-specified reports for particular needs).

- An application that relates staff deployment information to relevant financial information such as salaries and payroll.

Developing database management applications is extremely expensive. For much less money, human resources applications that can be tailored to an agency's needs are available off the shelf from several sources. Numerous organizations similar in principle to correctional facilities, such as hospitals, schools, industries, and corporations, have been using such applications for many years. Newer web-based applications allow a number of facilities to enter data simultaneously without incurring exorbitant network expenses.

Training for Participants in Staffing Analysis

Training for staff who will participate in staffing analyses is the responsibility of the agency staffing unit. The training can be self-administered using a document such as this one or can be taught in a group setting by the person in the agency who is in charge of staffing analysis.

Participants

Agency-level participants should include the deputy for agency operations/ institutions, analysts, the personnel director, and other staff who support the staffing function. At the facility level, the warden, the deputy for operations, the chief of security or a major or captain, the administrative captain or lieutenant, and shift commanders should be trained. All involved parties must understand how a staffing analysis is organized and their role in conducting the process.

Training Components

Tip: *Provide training certificates to successful participants, acknowledging their mastery of the staffing analysis process. Doing so not only instills pride in trainees, but also sets a standard for those who aspire to play a role in the process.*

Training components should include an overview of the staffing analysis process followed by step-by-step explanations of the preparation for and the tasks involved in the analysis. Because staffing analysis involves the use of a number of forms, the training should explain the use of those instruments and provide clear instructions for completing them. Trainees must learn how to put together reports, how those reports will be used internally for ongoing monitoring and evaluation, and how they may be used by external entities. Training materials should include relevant articles, reports, and other materials that can help trainees understand the theories and principles of staffing from a number of perspectives and how other jurisdictions handle staffing.

Frequency of Training

The frequency of the training depends on how often new participants are brought into the process. The advantage of self-administered training is that a class does not have to be set up. When training is self-administered, however, the trainee should be assigned to a mentor who is available to answer questions and give hands-on guidance.

Application of principles and processes through practice is an indispensable training method. What is learned in theory and principle is soon forgotten if not applied. The person in charge of the training should review what has been learned with the participant to ensure that the trainee has a firm grasp of the principles, policies, procedures, and practicalities of the staffing analysis process.

CHAPTER 4
Basic Tasks of a Staffing Analysis
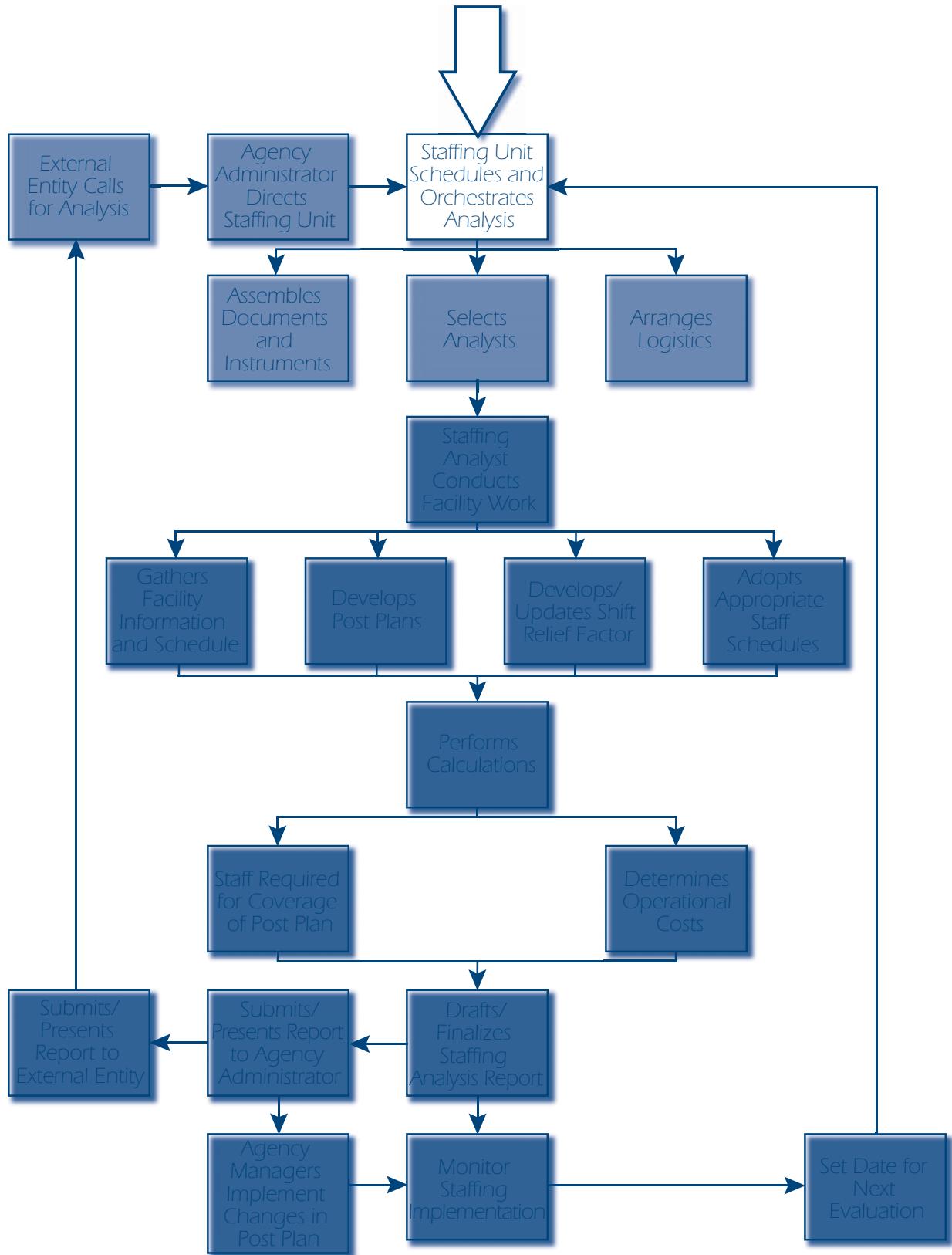
A staffing analysis is an exercise conducted by a correctional agency or facility to determine the number of security staff required to operate safely and efficiently. The analysis accomplishes this through a systematic evaluation of what work has to be done, where, and by how many persons at a given time; what schedule is most suitable for the work; and how many hours and days an average staff person is available to work per year.

The entire staffing analysis process is presented as a flow diagram in exhibit 3. This chapter summarizes the tasks that comprise a staffing analysis. Some are sequential and others can be done in parallel with others. Each task discussed here is the subject of a chapter in part 2 of this manual, "Conducting the Staffing Analysis."

Learning the Agency and Facility Factors That Influence Staffing

Staffing is affected by numerous agency and facility factors. At the agency level, these include mission and goals, organizational structure, the classification system, the division of labor among facilities, methods of operation, service delivery, inmate programs and activities, the budget process and current budget for each facility, the status of facility physical plants, and policies and procedures relative to personnel, security, and security staffing. This information tells the staffing analyst what factors to consider at each of the facilities that are to be analyzed. It gives the analyst the big picture. Other important elements the analyst must take into consideration include union agreements, staff-related court orders, and contracted services that may dictate staffing patterns. If special circumstances have warranted the analysis, that information is learned at the agency level as well.

At the facility level, the analyst has to become familiar with the role the facility plays in the agency. This requires a review of the facility's mission statement, organizational chart, the number and types of inmates housed there, the configuration of the facility's physical plant and grounds, the layout of the housing units, its policies and procedures, the facility's unique operation and activities and programs, its budget, its staffing issues, its current staffing plan and its current shift relief factor. Any recent facility-specific changes or facility-specific court orders are likely to affect the staffing as well. The analyst's role requires considerable reading and reviewing of documents in addition to discussions of the facility's

Exhibit 3. Staffing Analysis Process

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                                    ┌──────────────┐
                                    │      ▼       │
┌─────────────┐   ┌─────────────┐   ┌─────────────┐
│  External   │   │   Agency    │   │ Staffing Unit│◄──────────────────┐
│ Entity Calls│──►│Administrator│──►│Schedules and │                   │
│ for Analysis│   │   Directs   │   │ Orchestrates │                   │
│             │   │Staffing Unit│   │   Analysis   │                   │
└─────────────┘   └─────────────┘   └─────────────┘                   │
      ▲                 │         │         │          │              │
      │                 ▼         │         ▼          ▼              │
      │         ┌─────────────┐   │  ┌──────────┐  ┌──────────┐       │
      │         │  Assembles  │   │  │  Selects │  │ Arranges │       │
      │         │  Documents  │   │  │ Analysts │  │ Logistics│       │
      │         │    and      │   │  │          │  │          │       │
      │         │ Instruments │   │  └──────────┘  └──────────┘       │
      │         └─────────────┘   │       │                          │
      │                           │       ▼                          │
      │                       ┌──────────┐                           │
      │                       │ Staffing │                           │
      │                       │ Analyst  │                           │
      │                       │ Conducts │                           │
      │                       │Facility Work│                        │
      │                       └──────────┘                           │
```

Gathers Facility Information and Schedule

Develops Post Plans

Develops/ Updates Shift Relief Factor

Adopts Appropriate Staff Schedules

Performs Calculations

Staff Required for Coverage of Post Plan

Determines Operational Costs

Submits/ Presents Report to External Entity

Submits/ Presents Report to Agency Administrator

Drafts/ Finalizes Staffing Analysis Report

Agency Managers Implement Changes in Post Plan

Monitor Staffing Implementation

Set Date for Next Evaluation

current circumstances. (See chapter 6, "Agency and Facility Characteristics That Influence Staffing.)

Learning What Goes on Regularly in the Facility

The analyst studies the facility's schedule of daily operations, activities, and programs because these things affect the number and kinds of posts required hour by hour. (See chapter 7, "Operations and Activities Schedules That Influence Staffing.")

Determining the Availability of Staff To Work: The Shift Relief Factor

By studying leave and absence records, the analyst can determine how many staff have to be available on a given shift to cover a post that is always open in that facility. The shift relief factor may vary according to job classification and the post schedule. (See chapter 8, "Developing the Shift Relief Factor.")

Evaluating Posts and Proposing a New Post Plan

By studying every security job/post in the facility according to a set of specific criteria and in relation to one another, the analyst can determine why and where posts should be located, what the duties of each post should be, and when and how frequently those duties should be performed. The analyst constructs a proposed post plan that details all of these decisions and specifies the total number of staff needed. (See chapter 9, "Security Post Planning," and chapter 10, "Special Guidelines for Evaluating Housing Units.")

Performing Staffing Calculations

After evaluating all the security jobs (posts) required in the facility, the analyst calculates the number of staff required to operate the facility and the associated salary costs. Briefly, the shift relief factor is multiplied by the total number of staff in the post plan to determine how many full time staff the facility needs to employ to cover all posts. Applying average salaries to all current job classifications yields the cost of the staffing. This figure is the most important piece of information in the staffing analysis report. (See chapter 12, "Staffing Calculations.")

Development of Reports for Routine and Special Use

The staffing analysis report is the culmination of the work. Its content varies according to the purpose of the analysis (e.g., budget issue, management issue, court or other external inquiry). A routine report should include the following elements:

Findings of the Staffing Inventory: *Of the agencies responding, 88 percent reported using a shift relief factor; 69 percent indicated that they recalculate the shift relief factor based on actual leave usage and absences for each analysis (see appendix A).*

Findings of the Staffing Inventory: *Of agencies responding, 88.6 percent indicated that they review the operation of posts on a shift-by-shift basis (see appendix A).*

- The reason for the analysis.

- Who conducted the analysis.

- A description of how the analysis was conducted.

- Agency factors/issues that influenced the analysis.

- An executive summary that discusses agencywide issues, findings, and the aggregate summary statistics of all facilities' analyses.

- For each facility:
  - A summary of salient and relevant characteristics such as mission, operations, programs, services, location and state of physical plant, inmates, and schedule of activities.
  - A discussion of shift relief factors.
  - A summary of post planning results that includes a chart showing the number of staff needed for coverage and discusses the nature of substantive changes in the post plan since the last analysis.
  - A discussion of the total FTE requirements and costs of coverage with relief, by priority for filling the post.
  - Implementation plans and issues.
  - Appendixes (all post plans and their relief factors and calculations, underlying documentation, and completed instruments).

(See chapter 13, "Developing a Staffing Report.")

Using the Findings of the Analysis To Improve Staffing

The staffing analysis process does not end with the completion of the staffing report. Managers must decide which recommendations will be followed and then plan to implement them. As the plan goes into effect, they must monitor the process to ensure that the changes are being made according to the plan and evaluate whether the changes are achieving the desired results. Managers should see positive staffing change not as static accomplishment but as an ongoing work in progress. At each regular staffing analysis, the analyst should learn from what has occurred during the interval between analyses and look for more ways to improve the efficiency of the staffing. (See chapter 14, "Implementing Recommendations and Monitoring Results.")

CHAPTER 5
Orchestrating the *Staffing Analysis*

Orchestrating an agency staffing analysis for the first time is a detailed, time-consuming process, but the effort required will serve the analysts well once the facility analyses are underway. Once a system is in place, subsequent analyses will require much less preparation time. The first step in planning is to determine the reason for conducting the analysis.

Reason for Conducting the Analysis

A staffing analysis should be a matter of agency routine, conducted periodically as specified by agency policy. Agencies commonly perform staffing analyses:

- To determine budget requests for staff funding.

- To support management plans for staffing improvements.

- In the course of planning for new facilities.

- In response to changes in facility missions, inmate numbers, classification percentages, and so forth.

A staffing analysis may also be conducted on an ad hoc basis in response to a specific request by the agency administrator or the agency staffing unit director (or the agency staffing monitor or the warden, as the case may be in terms of organization). Some of the circumstances in which an ad hoc staffing analysis may be conducted are:

- Budget shortfall (temporary emergency cuts for unforeseen financial situations).

- Across-the-board percentage budget cuts (usually mean leave modifications and/or post cuts that are effective on a projected date).

- Planned reduction in force (a phased approach that includes planning for projected attrition and gradual post cuts).

- Court-ordered analysis (a justification for keeping the current post plan).

- State audit (explanation or justification of expenditures).

It is essential for staffing analysts to understand the reason for conducting the analysis because this dictates the tasks to be completed, tells the analyst where to

Findings of the Staffing Inventory:
Of agencies responding, 71 percent indicated that their policies require a periodic analysis of security staffing. When asked how often they conduct staffing analyses, the majority (50 percent) indicated that they conduct analyses as needed. About one-third (31 percent) indicated they conduct analyses annually and 9 percent indicated they conduct analyses every 2 years. Nine percent indicated their policies do not require staffing analyses at all.

The consensus of a national focus group of agency staff in charge of exemplary staffing analyses was that these analyses should be conducted at least annually in preparation for the budget cycle.

dig for information, and determines the information to be included in the staffing report. The approach used in a routine staffing analysis will not necessarily be effective in conducting an analysis driven by a specific ad hoc agenda. An analysis performed to cut personal services expenditures by a certain percentage, for example, differs significantly from one performed to accommodate a change in the number or custody classification of inmates in certain facilities. The staffing analyst must develop an individual strategy for each agenda-driven analysis.

Preparation Tasks

Whether the analysis is for one, several, or all facilities, agency units must complete several tasks up front to make the staffing analysis run smoothly.

1. **Hold a team meeting to plan for conducting the study.** At this meeting, the team should review all of the particulars of the organization of the work, which must be in accordance with the agency's staff deployment policy and staffing procedures. This applies whether the staffing analysts are agency personnel or external to the agency (e.g., legislative committee members, state auditors, or outside consultants).

2. **Establish who is in charge of the analysis.** If the analysis is agencywide, the head of the staffing unit will be in charge. Individual analysts (one of whom might also be the head of the agency unit) must also be put in charge of each facility analysis. Assignments should be made depending on how many analysts are available to the unit.

   ■ The analyst in charge of a facility analysis should not be an employee of the facility being evaluated.

   ■ It is preferable to have more than one analyst working at a facility so that they can compare judgment calls during post evaluations (particularly when there is a demand to eliminate posts) and when complicating factors arise.

   ■ When assigning more than one analyst to a facility, the analyst in charge should establish a division of labor to avoid duplication of effort. Economies of labor can also be realized by giving analysts posting specialties (e.g., housing, transportation).

3. **Set the timeframe for the work.** Include specific goals for each day.

4. **Decide on an approach for posting the facility.**

   ■ Some agencies approach a staffing exercise for a facility as a review of existing posts to decide how they can be deployed more productively, efficiently, and economically. When necessary, they make modifications to the existing plan with justifications.

   ■ Planners of new facilities or agencies that practice zero-based budgeting approach the exercise from the point of view that all posts must always be established as if for the first time.

5. **Review the available information for each facility and gather the information needed for the current analysis:**

   - Issues and unique characteristics of the facility that were present during the most recent staffing analysis, if there has been one.

   - Facility activities and operations schedule produced during the most recent staffing analysis, if there has been one.

   - Current post plan.

   - Current shift relief factor(s).

6. **Prepare the instrument(s) that will be used for the analysis.** The agency may already have an instrument (form) for use in developing a post plan. If so, review that instrument to make sure it will capture all of the data needed for the post study. If not, devise an instrument for recording each post's current characteristics as well as recommendations for modifying it. (See chapter 9, "Security Post Planning," for a detailed discussion of the post planning process, including model instruments that incorporate best practices for documenting post studies from staffing experts and selected jurisdictions throughout the nation.)

   Recording current post plan information prior to the post evaluation exercise allows the time spent at each post to be used in evaluating the post and determining whether or not modifications are necessary. Similarly, entering current types of agency leave and absence into the instrument used to calculate staff availability in advance of the post evaluation exercise will save time when working on the shift relief factors at each facility.

7. **Provide special instructions and/or training,** if applicable, to analysts and participants in the analysis.

8. **Make the necessary logistical arrangements:**

   - Print and organize all materials needed to conduct the study.

   - Set up appointments for interviews and observation.

   - Set aside time for analysts to meet periodically during the work to discuss post plan issues and preliminary recommendations so that they can benefit from one another's observations.

   - Assemble the documents that will be needed in conducting the analysis in an office set aside for the post study work. (See sidebar "Reference Documents for the Staffing Analysis" for suggestions.)

The approach will probably be different for analyses being conducted for special purposes. For example, certain categories of posts may be targeted or there may be a search for posts to eliminate.

Tip: *If you are establishing instruments for the first time, it is important to test them at an actual facility and to make appropriate revisions before using them agencywide.*

Reference Documents for the Staffing Analysis

❏ Post orders for every post in the facility
❏ Activity schedules
❏ Operation functions schedule
❏ Agency and facility-specific deployment policies, procedures, and materials, such as:
  ❍ Post plans
  ❍ Master and daily rosters
  ❍ Staffing patterns and cycles
  ❍ Shift relief factors
❏ Personnel policies, such as those describing:
  ❍ Employee behavior
  ❍ Assignments
  ❍ Work hours
  ❍ Compensation
  ❍ Leave
  ❍ Grievances
❏ Personnel records of actual leave and absences for a prescribed number of years
❏ Security policies involving:
  ❍ Inspection requirements
  ❍ Inmate behavior control
  ❍ Inmate delegation/control
  ❍ Security/facility inspections
  ❍ Incident management
  ❍ Responding to disturbances
  ❍ Prevention of and response to inmate escapes
  ❍ Searches (including strip searches)
  ❍ Inmate accountability
  ❍ Protective segregation procedures
  ❍ Inmate transportation
  ❍ Security threat groups
  ❍ Substance abuse and control
  ❍ Inmate death or hospitalization

Reference Documents for the Staffing Analysis (continued)

❏ Security forms/instruments for accountability

❏ Working master and daily rosters

❏ Working scheduling patterns

❏ Recent staffing analysis reports

❏ Facility floor plans, especially for housing units

❏ Pertinent incident reports that are specific to a post (particularly those involving staff assaults)

❏ Staff grievances related to staffing filed in the past year

❏ Inspection reports

❏ Staffing-applicable memos

❏ Monthly statistical reports

❏ Inmate population projections and capacity reports

❏ Internal audit reports

CONDUCTING THE STAFFING ANALYSIS

Part 2. Conducting the Staffing Analysis

CHAPTER 6
Agency and Facility Characteristics That Influence Staffing

Experts in staffing analysis agree that the unique characteristics of an agency and its facilities determine in large part how staff are deployed. The staffing analyst must learn those characteristics and keep them in mind throughout the staffing analysis process.

Agency Characteristics

Much of the information needed to conduct a security staffing analysis, whether agencywide or facility specific, is found at the agency level. Any consideration of staffing practices should begin with the agency's mission statement. Whether simple or elaborate, the mission statement sets the philosophical and management tone for the administration of the organization. The statement outlines the agency's policies and management methods, which determine facility-level security staffing practices.

The agency's particular structures and functions also affect security staffing practices considerably. Reviewing the agency-related information listed below informs the analyst about what to expect from the agency facilities to be analyzed.

- **Organizational chart:** Chart showing the division of the agency's responsibilities among its employees according to certain management principles.

- **Classification system:** The risk factors, mandatory restrictions, and processes used to assign inmates to categories that determine how they will be managed.

- **Mission(s) of the facilities:** The role(s) and goals of each facility within the agency.

- **Operations:** The control and conduct of security, movement and transportation of inmates, maintenance, visitation, distribution and monitoring of mail (including mailroom operations), and other vital functions of the agency's facilities.

- **Services:** How services such as food, clothing, laundry, commissary, medical and mental health, and social services are managed and delivered.

- **Programs and activities:** The types, number, roles, and methods of conducting programs and activities in the agency's facilities (e.g., recreational, educational, and religious activities; vocational training; work details; and industries).

- **Budget function and process:** The means for the agency to provide and govern the funding and expenditures of its facilities.

- **Personnel policies and procedures:** The agency's methods of hiring and managing staff, including policies regarding positions, work schedules, salaries, leave, and behavior.

- **Security policies and procedures:** The agency's methods for maintaining safety and security for staff and inmates in its facilities.

- **Staffing policies and procedures:** The agency's methods of deploying security staff and managing staffing in its facilities (e.g., post plans, post orders, shift relief factors, post assignments, work schedules) and its methods of enforcing each of these procedures at the agency and facility levels.

Example of Agency-Generated Information for a Facility Staffing Analysis

When a staffing analyst learns that a 500-bed facility receives and classifies sentenced males from county jails, serves as the transportation hub for the agency, and is required under a court order to employ new suicide prevention procedures, the analyst immediately knows the facility must employ adequate staff with specialized skills to:

- Manage its 500 inmates according to maximum-security procedures (because it is a reception center).

- Observe incoming inmates under suicide watch constantly or at specified intervals.

- Assess the custody, medical, program, and mental health needs of the inmates.

- Transport the inmates to their assigned facilities throughout the state.

Facility-Level Characteristics

In addition to the agency-level information, detailed information is required for each of the facilities for which a staffing analysis is to be conducted. This information includes the mission of the facility, its organizational structure, the inmate population, the facility design, operations and activities, the current functioning of the facility, and several external factors as well.

Facility Mission

The facility's mission statement describes its role within the agency, specifically:

- Its function (e.g., reception, general population, special program(s), work release, prerelease).

- The nature and number of the population housed (e.g., males, females, custody classification(s), special populations).

- The unique operations, services, and programs the facility provides for the agency or the state (e.g., laundry services, vehicle maintenance, transportation hub, industries offered, etc.).

- Particular court-ordered requirements, if applicable.

This information gives an overview of the kinds of staff the facility employs and the types of security duties the staff perform.

Current Organizational Structure

Analysts should review the organizational structure of the facility to see how, where, and when security staff are currently used.

Inmate Population

Information about the facility's inmates will give the analyst perspective about the numbers and types of inmates being housed and taking part in services, activities, and programs and the types and degrees of supervision required. Information may include:

- Current number of inmates.

- Average daily population for the past few years.

- Breakdown by category:
  - Gender.
  - Age.
  - Custody classification.
  - Special needs populations.
  - Special separations.

Facility Design

The design of the facility and its grounds also affect staffing decisions. Staffing analysts must consider the following characteristics of the facility's physical plant:

- **Design capacity:** The number of inmate beds, in conjunction with several other factors, heavily affects staffing determinations, particularly if the facility is operating well above capacity.

Tip: Some agencies/ facilities keep organization charts that list all staff positions and/or posts according to hierarchy; these are helpful complements to post plans for an analysis.

- **External boundaries:** The acreage, footprint of the facility, and perimeter (including sightlines, use of towers or intrusion devices, and gates and sally-ports) determine the number of staff who must maintain security from illegal exit and entry.

- **Security level (maximum, medium, minimum, community):** Facilities are built or renovated based on the agency administrator's decision as to which custody classification(s) will be housed there. Preferably, the security classification of the physical plant (including perimeter, administrative and program/service buildings and housing units) will be reflected in the "hardness" of the construction. The higher the custody level of the inmates housed, the higher the security level of the construction. A facility that will house inmates classified as maximum custody requires maximum-security construction and sophisticated technology. Higher security level construction is almost always more staff intensive than lower security level construction.

- **Internal boundaries:** Boundaries between buildings inside the security perimeter (e.g., housing units, gym) and buildings outside the security perimeter (e.g., administration, visiting center) require at least intermittent security staff surveillance, as do gates and/or sallyports between internal security zones (e.g., separating administration, programs, and services from housing, industries yard, maintenance, warehouse, etc.). The amount of surveillance depends largely on the configuration.

- **Areas for surveillance and supervision within the perimeter:** The locations of fixed control points/stations/rooms; pathways for controlled movement; location, number, function, and size of program and service facilities and housing; and their relationships with and proximity to one another directly affect the types and numbers of posts required to maintain security.

- **Inmate housing design:** Numerous features of housing design affect staffing requirements:

  - Construction type, i.e., "hard" or "soft" materials, as dictated by custody level. (Hard construction, used for maximum security, includes reinforcements such as solid steel rods and additional concrete in walls as well as additional security fixtures. Soft construction, used for minimum security, does not have these enhancements.)

  - Single bed, double twin beds, or dormitory beds (commensurate with custody level).

  - Number of types of housing represented in the facility.

  - Housing prototype(s): design(s) used in more than one facility in the agency.

  - Rated capacity.

  - Operational supervision type: direct or indirect.

  - Locking method(s): electronic and/or keyed, control panels, redundancies.

- Traditional or unit management design (offices for counseling, sick call, and in-unit education and group areas for semiautonomous unit functions).

- Number, type, and location of hygiene facilities.

- Presence, configuration, and use of dayroom space.

- In-unit dining facilities.

- Recreation area (in the unit, adjacent to the unit, remote from the unit).

- Presence of staff station and accoutrements (e.g., control room, office, podium, desk, table, log book, computer, locking panel, keybox) and their use.

- Presence of observation, listening, and other security aids (e.g., mirrors, special lighting, intercom system, sound baffling, panic buttons).

Example of Impact on Staffing: A housing design with many functional components to accommodate out-of-cell activities is likely to increase the workload of the post considerably and may require more than traditional staffing for a space of its size; however, the workload and security issues can be offset by security accommodations and supervision aids built into the facility's design.

Operations and Activities

The types and frequency of facility operations and activities determine the function, workload, shift coverage, schedule, and priority of posts. The scheduling, sequence, and interaction of the activities must be coordinated with how posts are situated. Examples of operations and activities follow:

- Routine operations (e.g., head counts, security checks, movement, escorts, callouts, transportation runs, meals, sanitation, maintenance, work details, searches, disciplinary hearings).

- Services and activities (e.g., sick call, clinics, recreation, visitation, volunteers, religious activities).

- Programs (education, vocational programming, Alcoholics Anonymous, Narcotics Anonymous, substance abuse services, anger management).

In addition to reviewing the types of operations and activities, staffing analysts should also review the facility's schedule of activities to gauge the work of posts throughout the facility (see chapter 7).

Current Functioning of the Facility

The staffing analyst should know any facility-specific, staff-related issues that may affect deployment, such as:

- Budget.

- Attrition, by rank, over the past 5 years.

- Hiring issues, such as barriers to or benefits of hiring new security staff (e.g., location, competition with other facilities or agencies, staff diversity).

- Attendance issues (e.g., overtime, sick leave abuse).

- Number and types of critical incidents, their locations, and staff injuries during the past 5 years.

- Staff grievances concerning deployment, overtime, training, and so forth.

- Current shift relief factor.

- Current post plan, schedule, and shift rosters.

Externally Imposed Staffing Factors

Facility administrators may have little or no control over the modification of agency and/or facility policies and procedures, the modification or expansion of the facility's mission, increases in workload, adjustments to work hours and leave limits, or the imposition of new laws or administrative regulations, but such external factors have significant ramifications for staffing. Following are a few of the sources of externally imposed staffing factors:

- State/agency mandate for budget reductions.

- Personnel agreements and union contracts.

- State and professional standards (e.g., American Correctional Association standards) applicable to the facility.

- New laws regarding provision of services for inmates.

- New administrative regulations governing staff workload, holidays, classifications, and so forth.

- Change in the agency's mission.

- Change in the agency's administrator.

- Contracts for services and other functions at the facility.

Recognition and consideration of these external factors are critical to ensuring that the recommended staffing plan is feasible and acceptable to the facility and the agency and will not encounter undue resistance from staff.

Summary

Together, the agency and facility characteristics discussed in this chapter offer a clear picture of the existing state of affairs. Collecting, analyzing, and logically arranging this information for presentation lays the foundation for the staffing analysis. For an example of such a report, see appendix C, "Sample Description of a Department of Corrections and Its Facilities." Subsequent staffing analyses should review and update this material.

CHAPTER 7

Operations and Activities Schedules
That Influence Staffing

The number and types of operations, programs, services, and activities that occur routinely in a facility during a 24-hour period (and across the 7 days of the week) also influence the number and kinds of posts required hour by hour. Analysts should evaluate the capacity of existing post plans to handle current activity levels effectively and, if applicable, recommend schedule modifications to improve staffing efficiency.

Many facilities chart and post activities and make this information widely available to security staff. Often, both a daily activity schedule and a weekly schedule showing intermittent and weekend activities are posted. If the facility does not provide operations and activities schedules, the staffing analyst will need to draw up a chart with this information to work with during the posting procedures of the staffing analysis. *Staffing Analysis Workbook for Jails* outlines how to develop a facility activities schedule and provides a form for that purpose.[1] That form has been adapted for this manual as form A: Daily Activities for Facility to reflect a prison facility's typical day (exhibit 4). A blank copy of this form is provided in appendix B.

Instructions for Completing Form A, Daily Activities for Facility

Use the blank copy of this form included in appendix B to record daily and weekly events at the facility being analyzed.[2] If operations and activities on weekends vary significantly from those on weekdays, complete two separate schedules, one for Monday through Friday and one for Saturday and Sunday. Another option is to note on the form the days on which each activity occurs.

In the left column, record specific activities, tasks, or operations that occur at least once each week. Consider the following list as a starting point:

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[1] Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

[2] The instructions for completing Form A: Daily Activities for Facility, are adapted from Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003), page 11.

- **Operations functions:** Counts, shift changes, escorts, transports.

- **Support functions:** Laundry exchange, commissary distribution, food service, maintenance.

- **Programs:** Education, vocational training, industries, work programs (yard care, building cleaning, kitchen labor, laundry labor, maintenance labor).

- **Activities:** Visiting, attorney visits, recreation, religious services, library, law library.

- **Professional services:** social services appointments, counseling, group therapy.

- **Medical and mental health services:** Sick call, medical appointments, special clinics, medication administration.

- **Intermittent activities:** Classification reviews/hearings, parole board hearings, disciplinary hearings, special visits, courts.

Several of these common activities are already listed in the "Activity" column of form A. If the facility being evaluated has regular activities and events not listed on form A, add them to the form.

After listing all relevant activities on the form, enter the actual times and duration for each activity in the space provided in the left column. Activities that take only a few minutes will look different from longer activities. For example, inmate counts might be recorded as points in time at 0200, 0600, 1200, 1800, and 2200, and visiting might be recorded as a block of time from 0800 to 1530.

For each activity, shade in the timeframes on the form that correspond to the usual scheduling of the activity. If the activity does not occur daily, note the days on which it occurs next to the activity in the lefthand column, as shown in exhibit 4.

Interpreting Form A

When the form is completed, examine it carefully. Look for periods of high activity. Read down the columns that represent the time of day. Focus on times and days that are unusually busy and those that are very light. Determine if the weekly schedule needs to be revised to redistribute activities from busy to slower times.

This exercise usually identifies important improvements that can be made to the facility schedule, such as rescheduling certain activities to level out peak periods during the week or changing policies and procedures. The staffing implications of these decisions will become apparent when the post plan is developed. At that time, it may be necessary to revise the facility's activity schedule if corresponding demands on staff are too high during certain times.

Exhibit 4. Example of Form A: Daily Activities for Facility

Activity	Times
Shift Change/Briefing	0645, 1445, 2245
Counts	0200, 0600, 1200, 1800, 2200
Food Service	0600, 1200, 1700
Scheduled Transports (M–F)	0800
Education Classes (M–F)	0900–1130, 1300–1530
Vocational Training Classes (M–F)	0900–1130, 1300–1530
Industries Operations (M–F)	0800–1130, 1230–1530
Work Details (M–F)	0800–1130, 1230–1530
Visiting (M–F)	0800–1530
Attorney Visits (M–F)	0800–1530
Sick Call	0900–1100
Special Clinics (M, W, F)	0830–1130
Medication Administration	0700–0800, 1200–1300, 1700–1800
Commissary (M, Th)	1600–1700
Recreation and Leisure	0900–1130, 1300–1530
Library, Law Library (M–F)	0900–1130, 1300–1530
Social Services Interviewing (M–F)	1000–1200, 1600–1800
Group Therapy, Cognitive (M, Th)	1800–1930
Alcoholics Anon. (T, F)/Narcotics Anon. (M, W)	1800–1930
Disciplinary Hearings (M, W, F)	1300–1500
Classification Hearings (M, W, F)	0900–1100
Religious Activities (S, S)	0900–1100

Time columns: 0:00, 1:00, 2:00, 3:00, 4:00, 5:00, 6:00, 7:00, 8:00, 9:00, 10:00, 11:00, 12:00, 13:00, 14:00, 15:00, 16:00, 17:00, 18:00, 19:00, 20:00, 21:00, 22:00, 23:00

CHAPTER 8
Developing the *Shift Relief Factor*

With the information on agency and facility characteristics, operations, and activities in hand, the staffing analyst is ready to begin developing the shift relief factor (SRF). This chapter discusses the information required to calculate shift relief factors, common errors and how to avoid them, and two calculation methods.

What Is a Shift Relief Factor?

The shift relief factor is the number of full-time-equivalent (FTE) staff needed to fill a relieved post (one that is covered on a continuous basis) for a single shift. This number may vary according to job classification and the post schedule. In staffing calculations, the shift relief factor is multiplied by the number of staff assigned to a specific post to determine the number of staff necessary to provide relief for the post. The SRF is an essential tool in developing and managing staffing plans and employee schedules.

Four basic variables are considered in determining the shift relief factor:

- How often and how long posts are to be filled.

- Number of days per week posts are authorized to be filled.

- Whether the post must be relieved to keep it filled during the shift (e.g., meal relief, scheduled "breaks").

- Leave and absence patterns of the workforce, including both paid and unpaid leave.

Common Errors in Determining the Shift Relief Factor

Even if a correctional agency's personal services budget is sufficient to fund the total number of security staff required to keep posts filled, facilities may fail to maintain required coverage and consequently need to resort to using overtime. When overtime is regularly needed to cover posts, the reason most often is that the shift relief factor has been miscalculated or calculated using old data.

When calculating the shift relief factor, correctional managers have traditionally used their leave policies and training requirements to determine the time an

employee would be unavailable to work. That method is not precise and leads to error because employees' records of absence may differ significantly from expected absences that are based on policy. A much more precise method of calculating the number of days an average security employee is available to work is to review attendance records from the previous year, or even several years past, to ascertain the actual use of all forms of leave and thereby discover trends and anomalies.

Many agencies that determine averages of the actual utilization of leave when calculating the average number of days staff are available to work make the mistake of limiting their data to leave specified by policy (e.g., vacation and sick, military, and bereavement leave), thereby overlooking the types of absences over and above the leave normally taken. In *Staffing Analysis Workbook for Jails,* Liebert and Miller remind the analyst of other categories of time off that should be taken into account:[1]

■ Preservice and inservice training time.

■ Long-term medical disability.

■ Provisions of the Family and Medical Leave Act of 1993.

■ Light-duty assignments required for injured staff.

■ Leave without pay.

■ Time away from the job while on special assignment.

■ Time needed to fill a vacancy.

■ Jury duty.

■ Workers' compensation time off.

■ Use of compensatory (comp) time.

■ Unexcused absences.

Days of availability may vary from one facility to another and will reflect differences in job classification or rank (e.g., major, captain, lieutenant, sergeant, officer). These differences affect the shift relief factor. As staff gain seniority and advance to higher rank, their leave time increases. Conversely, entry-level and junior staff have less vacation time and can be expected to take less leave.

In facilities in which correctional officers use leave heavily, the correctional officer posts will require more staff to fill them, resulting in a higher shift relief factor. Other factors that can lead to higher use of sick leave, compensatory time,

[1] Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003), page 8.

and other forms of leave, thereby resulting in a higher shift relief factor, are facility location, retention, recruitment, low staff morale, recent schedule changes, and increased use of overtime to fill posts.

Using Reliable Data

A relief factor is only as good as the data on which it is based. Before calculating a shift relief factor, the analyst should ask the following important questions:

- **Is the information current?** Before using an existing shift relief factor or when calculating a new one, make sure the information being used is current. Once a shift relief factor is established, it should be updated annually using the same method.

- **Are the data based on actual experience?** Use the records of current employees to determine the actual levels of leave utilization at each facility. Estimating important statistics such as training or sick leave on the basis on policy rather than actual practice can reduce the accuracy of the shift relief factor.

- **Are all types of nonduty hours included?** The current formula may recognize most types of nonduty hours. However, it may not include military leave and may underestimate training because initial (preservice) training is not fully included.

- **Are there variations between facilities?** To account for significant variations in utilization of leave between facilities, calculate a separate shift relief factor for each facility based on data derived from that facility's employee records. For example, if average yearly utilization of sick leave per officer is 8.25 days at one facility and 12.0 days at another, but the current shift relief factor assumes 10 days per officer at every facility in the department, some facilities will be authorized to hire more staff than they actually need while others will lack sufficient officers to cover their posts.

- **Are there variations between ranks?** Calculate separate shift relief factors for officers and supervisors (e.g., sergeants, lieutenants, captains, majors). Because supervisors generally earn more days of annual leave than line officers, their rate of leave utilization will likely be significantly higher. For example, if the average utilization of annual leave is 10.5 days for correctional officers but 22 days for supervisory staff, but the agency uses an estimate of 10 days of annual leave for all staff to calculate the shift relief factor, the number of positions authorized likely will not be sufficient to cover annual leave. Calculating one shift relief factor for all levels of staff is also likely to lead to underestimating the number of supervisors needed.

Continued on next page.

See chapter 11 for a more detailed discussion of how different schedules affect staffing.

> ### Using Reliable Data (continued)
>
> ■ **Have variations between leave schedules been considered?** Calculate separate shift relief factors for each leave schedule because the total number of days or hours worked per year is not the same for all schedules. For example, staff working a 5/2 schedule work 261 days per year (before leave is deducted), while staff working a 6/3 schedule work only 245 days per year. Thus, the total annual hours worked may be equivalent, but because of the overlap between schedules, there may still be a need for more staff positions to cover the days during the year when individual staff are not working. The state or county may balance out the total time, but the discrepancies between schedules will still affect the required coverage levels. Each schedule has a premium, and schedules other than 5/2 require more staff but may have benefits that offset this premium.

These variables make updating the shift relief factor periodically, using the most recent leave data available, a matter of critical importance. Accurate calculation of staffing requirements depends on using the appropriate shift relief factors for each job classification and for each facility.

Calculating the Shift Relief Factor

Consider the following scenario: A post in a prison control room is staffed 24 hours a day on three shifts, 7 days a week. More than three employees must be available to fill this post because any one employee assigned there cannot always be present. Employees are entitled to regular days off and leave of various sorts, as well as training days away from the post. Thus, more than three must be assigned. But how many? How does one calculate precisely how many people to employ for that post, avoiding the use of overtime to keep it occupied?

The shift relief factor has traditionally been calculated by dividing the number of days per year a post needs to be staffed by the number of days per year an employee is available for assignment to the post, and this formula has been the most popular method for planning coverage of security posts among state correctional agencies. This manual includes a less traditional formula for calculating shift relief factors based on **net annual work hours (NAWH),** a method of calculating staff availability introduced by Dennis R. Liebert and Rod Miller in *Staffing Analysis Workbook for Jails.*[2]

NAWH is the number of hours staff are employed to work per year (e.g., 40 hours per week $\times$ 52.14 weeks per year) minus the average number of hours a staff person is unavailable to work per year. Because NAWH is based on hours,

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[2] Liebert and Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (2003) pages 8–9.

it can be a bit more precise a calculation that sometimes yields a more accurate estimate of staff availability. Liebert and Miller note that, "Calculating an accurate NAWH will help control such costs as overtime pay, because realistic and accurate figures will be used to calculate the number of FTEs required to provide needed coverage."[3]

Jail administrators have found NAWH to be a valuable tool for staffing analysis, primarily because jail staff time is more likely to be recorded in hours rather than days. The next section presents instructions for using NAWH to calculate a shift relief factor.

Calculating the Shift Relief Factor Using Net Annual Work Hours

The formula for calculating the shift relief factor for a single shift using NAWH is similar to the traditional formula that uses days:

Traditional shift relief factor: Days/year post is staffed ÷ available workdays/year.

Shift relief factor based on NAWH: Hours/year post is staffed ÷ NAWH.

There are three basic steps in calculating shift relief factors using NAWH:

1. Calculate NAWH to determine the average number of hours staff are available to work per year.

2. Calculate the number of hours the post must be staffed per year.

3. Divide the number of hours the post must be staffed per year by the NAWH.

Form B, "Shift Relief Factor Based on Net Annual Work Hours," provides a format for performing these calculations. A completed example of form B is shown in exhibit 5. The form and the following instructions for using it are adapted from *Staffing Analysis Workbook for Jails.*[4] A blank copy of form B is available in appendix B.

Calculate NAWH to determine staff availability

1. Enter the total number of hours an employee is contracted to work per year (line 1).

2. For each job classification that applies to the post, enter the average number of hours of leave or absence per year in all applicable time-off categories (lines 2 through 17). Complete each line of the form. If an item is not applicable, enter "NA."

Shift relief factor: The number of full-time-equivalent staff needed to fill a relieved post (one that is covered on a continuous basis) for a single shift.

Tip: It may be necessary to convert days to hours, as many employee contracts are based on days (days off, training days, etc.). Usually 1 day equals 8 hours; however, if staff are contracted to work more than a standard 40-hour week, remember to adjust calculations accordingly. For example, a 43-hour contract week would yield an 8.6-hour day.

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[3] Liebert and Miller (2003), page 9.
[4] Liebert and Miller (2003), pages 8–10.

Exhibit 5. Example of Form B: Shift Relief Factor Based on Net Annual Work Hours

	Major	Captain	Lieutenant	Sergeant	Correctional Officer
Calculate net annual work hours (NAWH):			**Hours**		
1. Total hours contracted per employee per year (If a regular workweek is 40 hours, then 40 X 52.14 weeks = 2,086.)	2,086	2,086	2,086	2,086	2,086
2. Average number of vacation hours per employee per year	134	117	115	111	94
3. Average number of holiday hours off per employee per year	104	104	104	104	104
4. Average number of compensatory hours off per employee per year	101	80	65	58	65
5. Average number of sick leave hours off per employee per year	55	46	36	56	85
6. Average number of training hours off per employee per year	24	25	24	24	32
7. Average number of personal hours off per employee per year	14	4	5	12	14
8. Average number of military hours off per employee per year	1	1	2	2	6
9. Average number of meal hours per employee per year (only used if post is relieved)*	0	0	0	0	104
10. Job injury/Workers Compensation leave (not included in sick leave or other category)	2	1	0	3	4
11. Average number of hours of leave without pay (including Family and Medical Leave)	1	1	3	4	4
12. Average number of hours of relief-from-duty leave (with or without pay)	0	0	0	2	6
13. Average number of hours of funeral/bereavement leave	1	1	1	0	0
14. Average number of hours of unauthorized absence	0	0	0	0	0
15. Average number of hours of unearned/executive leave	2	0	0	0	0
16. Average number of hours of vacancies until positions are filled	6	4	13	4	3
17. Other	0	0	0	0	0
18. Total hours off per employee per year (Add Lines 2 through 17.)	445	384	367	380	521
19. Net annual work hours (Subtract Line 18 from Line 1.)	**1,642**	**1,702**	**1,719**	**1,706**	**1,565**
Calculate the number of hours the post must be staffed per year:					
20. Hours in basic shift	8	8	8	8	8
21. Shifts per day	1	1	1	1	1
22. Days per week	5	5	5	5	5
23. Total hours post staffed per year (Line 20 X Line 21 X Line 22 X 52.14)	**2,086**	**2,086**	**2,086**	**2,086**	**2,086**
Calculate the shift relief factor (SRF):			**Full-time-equivalent staff**		
24. SRF for 5-day post, one 8-hour shift: Line 23 (hours post staffed per year) ÷ Line 19 (NAWH)	**1.27**	**1.23**	**1.21**	**1.23**	**1.33**
Other shift relief factors based on SRF for a 5-day post:					
25. 7-day post, one 8-hour shift: (Line 24 X 7) ÷ 5	1.78	1.72	1.69	1.71	1.86
26. 7-day post, 8-hour shifts, 24-hour continuous coverage: Line 25 X 3	5.34	5.16	5.07	5.13	5.59
27. 7-day post, one 10-hour shift: (Line 24 X 10) ÷ 8	1.59	1.54	1.51	1.53	1.66
28. 7-day post, one 12-hour shift: (Line 25 X 12) ÷ 8	2.67	2.58	2.54	2.57	2.79
29. 7-day post, 12-hour shifts, 24-hour continuous coverage: Line 28 X 2	5.34	5.16	5.07	5.13	5.58

*If some staff in a classification are relieved for meals/breaks and some are not, an additional column is required for that classification because the total net annual work hours will be less for relieved posts than for nonrelieved posts.

Source: Adapted from Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003), page 43.

3. Add lines 2 through 17 to obtain the average total hours of time off per employee per year (line 18).

4. Subtract the total hours off per year (line 18) from the total hours contracted per year (line 1). This is the NAWH.

The accuracy of the NAWH (and, ultimately, of the shift relief factor) depends on including all types of leave and absence in the calculation. Form B lists the basic types of leave and absence and includes a row labeled "Other" for facility-specific information. Add additional rows to your form as needed.

Data may not be readily available for each applicable time-off category. Do not dismiss a category as minor or insignificant for that reason. Staff time away from scheduled work adds up quickly, and the larger the facility, the greater the budget shortfall will be if data are not complete and accurate. Collect all data needed, no matter how difficult. Set up new protocols to ensure that the data will continue to be collected and will be available when it is time to update calculations. The value of NAWH calculations depends on the accuracy and thoroughness of the research that goes into them.

Tip: Collect at least 3 years of data to develop the average time taken off in each leave/absence category.

Because the amount of time off per year varies according to staff classification (e.g., differences in the amount of vacation time or the amount of training time allotted and used), a separate NAWH should be calculated for every classification of staff for which the total amount of leave/absence varies substantially. Form B includes columns for five staff classifications: major, captain, lieutenant, sergeant, and correctional officer. Additionally, more than one column may be required for each classification if there are differences in relief status (e.g., some sergeants are relieved for meals and breaks and others are not) because the NAWH of staff who are relieved will be less than the NAWH of those who are not relieved.

Calculate the number of hours the post must be staffed per year

1. Identify:

- The number of hours in the basic shift (line 20).
- The number of shifts per day (line 21).
- The number of days per week that the post needs to be staffed (line 22).

2. Multiply line 20 by line 21 by line 22 by the 52.14 weeks in a year. This is the total number of hours the post must be staffed per year (line 23).

Calculate the shift relief factor

Divide the number of hours the post is staffed per year (line 23) by the NAWH (line 19). This is the shift relief factor, or the number of full-time-equivalent staff needed to keep the post staffed (line 24).

At the bottom of the form (lines 25–29) are shift relief factors for other work schedules based on the SRF for a 5-day, 8-hour post (line 24). These shift relief factors are used in the "Recommended SRF" column in the example of form D, "Post Evaluation and Planning Instrument," which is discussed in chapter 9.

Calculating the Shift Relief Factor by the Traditional Method

Some agencies may want to continue calculating shift relief factors in days or may be required to do so. Form C, "Shift Relief Factor Based on Days," is provided in appendix B for their use. Exhibit 6 shows a copy of form C completed using the same leave and absence categories that were used to calculate NAWH in exhibit 5, but with the time expressed in days rather than hours.

Like form B in exhibit 5, form C in exhibit 6 has been completed to calculate the shift relief factor for a post occupied 5 days per week, 261 days per year. If the average security employee is available to work 205 days per year (after all leave is deducted), then the shift relief factor is 1.27 (261 ÷ 205). Therefore, for coverage of one post on one shift 5 days every week, the facility must have 1.27 full-time employees. If that same post is to be filled all the time (i.e., 5 days per week, 24 hours per day), and there are three shifts per day, this post would have a shift relief factor of 3.18 (3 $\times$ 1.27).

If a post has to be occupied 365 days per year and the average security employee is available to work 205 days per year, then the shift relief factor is 1.78 (365 ÷ 205). Therefore, for continuous coverage of one post on one shift, the facility must have 1.78 full-time employees. If that same post is to be filled all the time (i.e., 7 days per week, 24 hours per day), and there are three shifts per day, the post would have a shift relief factor of 5.34 (3 $\times$ 1.78).

Which Method Should Be Used?

It may be difficult to decide which method to use. Using NAWH may be more precise, in that the unit of analysis is hours rather than days, but the traditional SRF formula calculated in days may be more familiar to the agency and can be applied with little loss in precision. As can be seen by comparing the shift relief factors in exhibits 5 and 6, the numbers are identical, demonstrating that either method is reliable as long as all types of leave and absence are included in the calculation and the data used are accurate. If the agency's personnel recordkeeping system is capable of producing the information in hours instead of days, using the NAWH method is recommended.
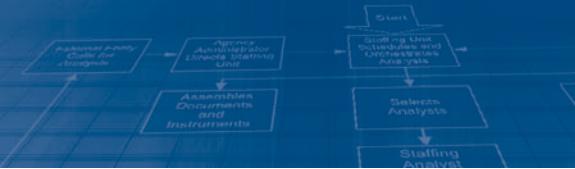
Note that whichever method is used, the newly calculated SRF will be an important part of the post evaluation process, which is the subject of the next chapter.

Exhibit 6. Example of Form C: Shift Relief Factor Based on Days

	Major	Captain	Lieutenant	Sergeant	Correctional Officer
Post data:			**Days**		
A. Days per week post is covered	5.0	5.0	5.0	5.0	5.0
B. Days per year post is covered (Line A X 52.14)	261.0	261.0	261.0	261.0	261.0
Staff availability:			**Days**		
C. Days contracted to work per year	261.0	261.0	261.0	261.0	261.0
Annual leave	16.8	14.6	14.4	13.9	11.8
Holiday leave	13.0	13.0	13.0	13.0	13.0
Compensatory time	12.6	10.0	8.1	7.3	8.1
Sick leave	6.9	5.8	4.5	7.0	10.6
Training time	3.0	3.1	3.0	3.0	4.0
Personal time	1.8	0.5	0.6	1.5	1.8
Military leave (paid and unpaid)	0.1	0.1	0.3	0.3	0.8
Meal and break time	0.0	0.0	0.0	0.0	13.0
Job injury/Workers Compensation leave (excludes sick leave)	0.3	0.1	0.0	0.4	0.5
Leave without pay (e.g., Family and Medical Leave Act)	0.0	0.1	0.4	0.5	0.5
Relief-from-duty leave (with or without pay)	0.1	0.0	0.0	0.3	0.8
Funeral/bereavement leave	0.1	0.1	0.1	0.0	0.0
Unauthorized absence time	0.0	0.0	0.0	0.0	0.0
Unearned/executive leave	0.3	0.0	0.0	0.0	0.0
Vacancies	0.8	0.5	1.6	0.5	0.4
Other	0.0	0.0	0.0	0.0	0.0
D. Total days leave per year	55.6	48.0	46.0	47.5	65.1
E. Total available workdays per year (Subtract Line D from Line C)	205.4	213.0	215.0	213.5	195.9
Shift relief factor:			**Full-time-equivalent staff**		
F. SRF = Line B ÷ Line E	1.27	1.23	1.21	1.22	1.33
Other shift relief factors based on SRF for a 5-day post (assuming one shift = 8 hours):					
G. 7-day post, one 8-hour shift: (Line F X 7) ÷ 5	1.78	1.72	1.69	1.71	1.86
H. 7-day post, 8-hour shifts, 24-hour continuous coverage: Line G X 3	5.34	5.16	5.07	5.13	5.59
I. 7-day post, one 10-hour shift: (Line F X 10) ÷ 8	1.59	1.54	1.51	1.53	1.66
J. 7-day post, one 12-hour shift: (Line G X 12) ÷ 8	2.67	2.58	2.54	2.57	2.79
K. 7-day post, 12-hour shifts, 24-hour continuous coverage: Line 28 X 2	5.34	5.16	5.07	5.13	5.58

CHAPTER 9
Security Post Planning

With benefit of (1) a plan for conducting the staffing analysis, (2) an understanding of the facility in terms of mission, operations, physical plant design and utilization, and inmate population, (3) a facility activities schedule, and (4) shift relief factors (SRFs), the staffing analyst is ready to evaluate security posts and develop post plans.

This chapter delineates the steps for conducting post evaluations, demonstrates techniques for documenting collected data and recommendations for improvement, and provides aids for observing and interviewing staff during the evaluation of a post. All references in the chapter are to security staff, although the principles and guidelines presented here also apply to nonsecurity staff who work shifts (e.g., those involved with building and vehicle maintenance, food service, laundry, recreation, counseling and casework, and health and mental health services).

The Purpose of Post Planning

Security experts, both consultants and practitioners, unanimously agree: staffing is adequate when the right number of staff in a facility are doing the right things in the right places at the right times. Post plans are the foundations of adequate staffing.

Security post planning is done to ensure efficient posting of staff throughout the facility/agency. It entails two overarching tasks:

1. The establishment and/or review of all security posts in a facility or agency according to specific guidelines.

2. The development of recommendations for modifying posts, where necessary.

By studying every security job/post in the facility according to a set of specific criteria and in relation to one another, the analyst can determine why and where posts should be located, what the duties of each post should be, and when and how frequently those duties should be performed. The analyst constructs a proposed post plan that details all of these decisions and specifies the total number of staff needed.

Post planning should be an ongoing and regular practice that continually improves a facility's staff deployment. With due diligence and with all considerations

explored, effective post planning will enhance the facility's safety and security and ensure that the jurisdiction's money is being spent prudently.

The Mechanics of Post Planning

Post planning is tedious, detailed work. Every existing and potential post in a facility must be carefully studied for its purpose, its priority, its location, its duration per 24 hours, its effectiveness, and its efficiency. In addition, the relationships between various posts and their respective assigned duties must be analyzed to ensure security backup; to cover facility operations, activities, programs, and services; and to avoid unnecessary post redundancies.

The mechanics of post planning include organizing the post study, documenting the characteristics of each post, evaluating each post, and documenting any issues with the post and making recommendations for it in a revised post plan. The following sections explain the tasks in each of these stages, step by step.

Organizing the Post Study

Preparing for the first time to study security posts requires a bit of thinking and organizing, but after the first exercise, the preparation requires much less work. Completing the following organizational tasks before undertaking the actual documentation and evaluation of posts will help the study go smoothly.

1. Hold a meeting of the posting team to develop a plan for conducting the study and to review all of the particulars of the organization of the work. The organization of the post study must be in accord with the agency's staff deployment policy and staffing procedures. This applies whether the evaluator(s) are agency personnel or external to the agency (e.g., legislative committee members or state auditors.)

2. Establish who is in charge. If this designation of responsibility is not delineated in agency policy, the appropriate authority should select an employee in the agency who has expertise in staffing.

3. Select evaluators to do the work. Where possible:
   - Appoint evaluators who do not work at the facility being evaluated.
   - Assign more than one evaluator to a facility. Evaluators benefit from comparing judgment calls during post evaluations, especially when there is a demand for elimination of posts and when there are complicating factors that call for discussion and deliberation.
   - Evaluate several facilities simultaneously, especially when uniformity across facility functions and across prototype designs is desired.

4. Establish a division of labor that will ensure an efficient study. Economies of labor can be realized by giving evaluators posting specialties (e.g., housing, transportation).

5. Set a timeframe for the work that includes specific goals for each day.

6. Decide on a posting approach.

   ■ Some agencies approach post planning as a review of existing posts to determine how they can be deployed more productively, efficiently, and economically. When necessary, they make modifications (each of which must be justified) to the existing plan.

   ■ Planners of new facilities or agencies that practice zero-based budgeting approach post planning from the point of view that all posts must always be established as if for the first time.

7. Ensure that all posting team members understand the reason the post study is being conducted. Is this a routine post study required by the agency's staff deployment policy, or is the study being performed as part of a reduction in force (RIF), across-the-board percent reduction, investigation into staffing practices pursuant to litigation, or other specific purpose? The goal of the study will drive and influence the work.

8. Frame the work in the context of the entire staffing analysis project. (This task may extend to additional meetings and discussions.)

   ■ Discuss the characteristics of the facility and pertinent issues.

   ■ Review the facility activities and operations schedule (form A) that was produced during the organization stage of the staffing analysis (see chapter 7).

   ■ Study the policies and procedures applicable to developing posts and a post plan.

   ■ Review the current post plan, making note of issues to be examined and resolved.

   ■ Interview facility managers from various disciplines and ranks to gain different perspectives on facility staffing practices.

9. Prepare the instruments (forms) that will be used for the study and review them with the posting team.

   ■ If the agency has its own instruments for post evaluation and planning, review them to make sure they will capture all of the data needed for the post study.

   ■ If the agency does not have instruments for gathering data and documenting recommended modifications to the operation of a post, use the forms provided in this manual or devise new instruments.

   ■ Record the current post plan information in the evaluation instrument being used so that the time visiting each post can be spent evaluating the post and documenting any issues found with it. (See next section, "Documenting the Characteristics of a Post.")

Tip: *Regardless of the approach to post planning, the preparations are the same.*

Tip: *People not directly involved in the analysis (for example, program and industries supervisors) may also be good resources concerning the staffing issues at hand.*

Note: *When developing new instruments for post evaluation and planning, it is important to test them at a facility and revise them accordingly before using them agencywide.*

10. Attend to the logistics that will support the work:

- Print and organize all materials needed to conduct the study.

- Set up appointments for interviews and observation.

- Set aside time for evaluators to meet periodically during the work to discuss post plan issues and preliminary recommendations so that they can benefit from one another's judgments and creative thinking.

- Assemble the documents that will be needed during the post study in an office set aside for this work. (See sidebar "Reference Documents for Post Studies" for suggestions.)

Reference Documents for Post Studies

❏ Post orders for every post in the facility
❏ Activity schedules
❏ Operation functions schedule
❏ Agency and facility-specific deployment policies, procedures, and materials, such as:
  ❍ Post plans
  ❍ Master and daily rosters
  ❍ Staffing patterns and cycles
  ❍ Shift relief factors
❏ Personnel policies, such as those describing:
  ❍ Employee behavior
  ❍ Assignments
  ❍ Work hours
  ❍ Compensation
  ❍ Leave
  ❍ Grievances
❏ Personnel records of actual leave and absences for a prescribed number of years
❏ Security policies involving:
  ❍ Inspection requirements
  ❍ Inmate behavior control
  ❍ Inmate delegation/control
  ❍ Security/facility inspections
  ❍ Incident management
  ❍ Responding to disturbances
  ❍ Prevention of and response to inmate escapes
  ❍ Searches (including strip searches)

Reference Documents for Post Studies (continued)

- ○ Inmate accountability
- ○ Protective segregation procedures
- ○ Inmate transportation
- ○ Security threat groups
- ○ Substance abuse and control
- ○ Inmate death or hospitalization
- ❏ Security forms/instruments for accountability
- ❏ Working master and daily rosters
- ❏ Working scheduling patterns
- ❏ Recent staffing analysis reports
- ❏ Facility floor plans, especially for housing units
- ❏ Pertinent incident reports that are specific to a post (particularly those involving staff assaults)
- ❏ Staff grievances related to staffing filed in the past year
- ❏ Inspection reports
- ❏ Staffing-applicable memos
- ❏ Monthly statistical reports
- ❏ Inmate population projections and capacity reports
- ❏ Internal audit reports

Documenting the Characteristics of a Post

This manual uses the following two instruments to demonstrate post planning. Both instruments incorporate best practices for documenting post studies gleaned from staffing experts and selected jurisdictions across the United States.

- ■ **Form D: Post Evaluation and Planning Instrument.** This two-part form is designed to be the official record of all of the information needed to determine the facility's security complement. Part 1 of the form documents the post's current structure and staffing, and part 2 documents the recommended post plan (see exhibits 7 and 8, respectively).

- ■ **Form E: Recommended Post Modification.** This form is used to record observations and recommendations about the specific characteristics and issues of a post that require modification or improvement. Exhibit 9 (pages 56–57) shows two completed examples of form E.

Blank copies of both forms are included in appendix B.

Exhibit 7. Example of Form D: Post Evaluation and Planning Instrument
Part 1. Current Post Plan

Post	Attributes				Officers per Shift								Computation				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
	Function	Rank	Priority	Number of days	Office hours	Day shift, 8 hours	Evening shift, 8 hours	Night shift, 8 hours	Day shift, 12 hours	Night shift, 12 hours	10-hour over-lapping	Other	Shift relief required?	Meal/break required?	Total staff per 24 hours	Current SRF (per shift)	Rec. number FTEs
Command posts																	
Major	C	M	M	5	1								N	N	1	1.00	1.0
Security Captain	C	C	M	7		1	1						Y	N	2	1.70	3.4
Lieutenant: Shift	CS	L	M	7		1	1	1					Y	N	3	1.70	5.1
Lieutenant: Operations	CS	L	M	7	1								Y	N	1	1.70	1.7
Lieutenant Administrative	CS	L	M	5	1								N	N	1	1.00	1.0
Sergeant: Shift	CS	S	M	7		1	1	1					Y	N	3	1.70	5.1
Sergeant ABCD	CS	S	M	7		1	1	1					Y	N	3	1.70	5.1
Sergeant EFGH	CS	S	M	7		1	1	1					Y	N	3	1.70	5.1
Sergeant IJKL	CS	S	M	7		1	1	1					Y	N	3	1.70	5.1
Sergeant: Support Services	CS	S	M	7					1				Y	N	1	2.10	2.1
Sergeant: Activity	CS	S	M	7					1				Y	N	1	2.10	2.1
Sergeant: Work Crews	CS	S	M	5							1		Y	Y	1	1.20	1.2
Total Command																	**38.0**
Correctional Officer posts																	
Main control	CTL	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Armory, keys, restraints, fire	ISP	CO	E	5							1		N	N	1	1.00	1.0
Property	ISP	CO	M	5		1							Y	N	1	1.70	1.7
Perimeter	P	CO	M	7		4	4	4					Y	N	12	1.70	20.4
Main gate	P	CO	M	7		1	1	1					Y	Y	3	1.80	5.4
Vehicle sallyport	EM	CO	E	5		1	1						Y	Y	2	1.30	2.6
Transportation coordination	EM	CO	M	5		1	1	1					Y	N	3	1.20	3.6
Transportation unit	EM	CO	M	5		3	3						Y	N	6	1.20	7.2
Mail and property	ISP	CO	M	5	1								N	N	1	1.00	1.0
Kitchen	ISP	CO	M	7		1		1					Y	N	2	1.70	3.4
Clinic	ISP	CO	M	5	1								Y	N	1	1.20	1.2
Commissary	ISP	CO	E	5	1								Y	N	1	1.20	1.2
Visitation	ESP	CO	M	5	1								Y	Y	1	1.30	1.3
Education, vocational training	ISP	CO	E	5	1								Y	N	1	1.20	1.2
Yard	IM	CO	M	4							2		Y	N	2	1.30	2.6
Escort	IM	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Work crew	ISP	CO	E	5		3							Y	Y	3	1.20	3.6
Housing Officer A Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Housing Officer B Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Housing Officer C Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Housing Officer D Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Housing Officer E Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Housing Officer F Unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Admin. seg./disciplinary unit	H	CO	M	7		2	2	2					Y	N	6	1.70	10.2
Total Correctional Officers																	**149.2**

Exhibit 8. Example of Form D: Post Evaluation and Planning Instrument
Part 2. Recommended Post Plan

Post	Attributes						Officers per Shift							Computation				
19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37
	Attached Mod./Code	Function	Rank	Priority	Number of days	Office hours	Day shift, 8 hours	Evening shift, 8 hours	Night shift, 8 hours	Day shift, 12 hours	Night shift, 12 hours	10-hour over-lapping	Other	Shift relief required?	Meal/ break required?	Total staff per 24 hours	Rec. SRF (per shift)	Rec. number FTEs
Command posts																		
Major		C	M	M	5	1								N	N	1	1.00	1.0
Security Captain		C	C	M	7		1	1						Y	N	2	1.72	3.4
Lieutenant: Shift		CS	L	M	7		1	1	1					Y	N	3	1.69	5.1
Lieutenant: Operations		CS	L	M	7	1								Y	N	1	1.69	1.7
Lieutenant Administrative		CS	L		5	1								N	N	1	1.00	1.0
Sergeant: Shift		CS	S	M	7		1	1	1					Y	N	3	1.71	5.1
Sergeant ABCD		CS	S	M	7		1	1	1					Y	N	3	1.71	5.1
Sergeant EFGH		CS	S	M	7		1	1	1					Y	N	3	1.71	5.1
Sergeant IJKL		CS	S	M	7		1	1	1					Y	Y	3	1.71	5.1
Sergeant: Support Services		CS	S	M	7					1				Y	N	1	2.56	2.6
Sergeant: Activity		CS	S	M	7					1				Y	N	1	2.56	2.6
Sergeant: Work Crews		CS	S	M	5							1		Y	Y	1	1.22	1.2
Total Command																		39.1
Correctional Officer posts																		
Main control		CTL	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Armory, keys, restraints, fire		ISP	CO	E	5							1		N	N	1	1.00	1.0
Property		ISP	CO	M	5		1							Y	N	1	1.33	1.3
Perimeter	X	P	CO	M	7		1	1	1					Y	Y	3	1.86	5.6
Main gate		P	CO	M	7		1	1	1					Y	Y	3	1.86	5.6
Vehicle sallyport	X	EM	CO	E	5		1	1						Y	Y	2	1.33	2.7
Transportation coordination		EM	CO	M	5		1	1	1					Y	N	3	1.33	4.0
Transportation unit		EM	CO	M	5		3	3						Y	N	6	1.33	8.0
Mail and property		ISP	CO	M	5	1								N	N	1	1.00	1.0
Kitchen	X	ISP	CO	M	7					1				Y	N	1	2.59	2.6
Clinic		ISP	CO	M	5	1								N	N	1	1.00	1.0
Commissary		ISP	CO	E	5	1								N	N	1	1.00	1.0
Visitation	X	ESP	CO	M	4							1		Y	Y	1	1.66	1.7
Education, vocational training		ISP	CO	E	5	1								Y	N	1	1.33	1.3
Yard		IM	CO	M	4							2		N	N	2	1.66	3.3
Escort		IM	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Work crew		ISP	CO	E	5		3							Y	Y	3	1.33	4.0
Housing Officer A Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Housing Officer B Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Housing Officer C Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Housing Officer D Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Housing Officer E Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Housing Officer F Unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Admin. seg./disciplinary unit		H	CO	M	7		2	2	2					Y	N	6	1.86	11.2
Total Correctional Officers																		144.5

Exhibit 9. Examples of Form E: Recommended Post Modification

Instructions:	Enter the post to be modified. If the change affects the characteristics of the post, enter the current characteristic in the "From" row and the recommended modification in the "To" row. To explain any modification to the post, enter the modification code from the key at the bottom of the form and enter narrative in the space provided.

Name of Facility	Area of Prison	Date
Generic Correction Facility	Perimeter	4/6/2007

Name of Analyst	Interviewee
John Analyst	J.R. Post

Specification of Posts	Attributes					Shifts							Relief		
Post to be Modified 4 towers	Function	Rank	Priority	Number of days filled	Office hours	Day 8 hours	Evening 8 hours	Night 8 hours	Day 12 hours	Night 12 hours	10 hour	Other	Shift relief	Meal/ break	
From						4	4	4							
To						1	1	1							

Mod. Code C4	Comments	Deactivate towers and secure them.

(See table below for modification codes.)

Mod. Code C4	Comments	Add buried cable perimeter detection system and additional fence. Destroy grass and cover ground with gravel. Install perimeter surveillance in Main Control.

(See table below for modification codes.)

Mod. Code G1, A5	Comments	Delete three posts on each shift.

(See table below for modification codes.)

Mod. Code B2	Comments	Purchase perimeter vehicle.

(See table below for modification codes.)

Mod. Code B2	Comments	Equip vehicle with shotgun, wide range flashlight, spot light, radios (prison and state police), billy club, and tear gas.

(See table below for modification codes.)

Modification Code Key:						
A. Characteristics/ Functions	**B. Workload**	**C. Safety**	**D. Inmates**	**E. Special**	**F. Issues**	**G. Post**
A1 - Function A2 - Rank A3 - Priority A4 - Days filled A5 - Shift A6 - Relief A7 - Meals	B1 - Schedule B2 - Activities B3 - Programs B4 - Movement B5 - Documentation B6 - Other	C1 - Backup C2 - Equipment C3 - Technological C4 - Physical plant C5 - Sight lines C6 - Other	D1 - Number D2 - Gender D3 - Custody D4 - Special D5 - Other	E1 - Screening E2 - Testing E3 - Training E4 - No rotation E5 - Scheduling E6 - Relation to other post	F1 - Contract F2 - Union F3 - Court	G1 - Delete G2 - Add G3 - Civilianize G4 - Contract G5 - Pull/collapse G6 - Change duties

Exhibit 9. Examples of Form E: Recommended Post Modification (continued)

Instructions:	Enter the post to be modified. If the change affects the characteristics of the post, enter the current characteristic in the "From" row and the recommended modification in the "To" row. To explain any modification to the post, enter the modification code from the key at the bottom of the form and enter narrative in the space provided

Name of Facility	Area of Prison	Date
Generic Correction Facility	Perimeter	4/5/2007

Name of Analyst	Interviewee
Max Analyst	Mortimer Post

Specification of Posts	Attributes					Shifts							Relief	
Post to be Modified Vehicle gate	Function	Rank	Priority	Number of days filled	Office hours	Day 8 hours	Evening 8 hours	Night 8 hours	Day 12 hours	Night 12 hours	10 hour	Other	Shift relief	Meal/ break
From						1	1	1					5.1	
To						1	1						3.4	

Mod. Code C3	Comments	Install video at vehicle gate, to be monitored by Main Control on the night shift (this improvement also enhances vehicle gate surveillance on day and evening shifts).

(See table below for modification codes.)

Mod. Code G1, A5	Comments	Delete night shift post. Main Control will observe and dispatch escort officer to open and close gate and conduct searches of vehicles going and coming on night shift.

(See table below for modification codes.)

Mod. Code	Comments	

(See table below for modification codes.)

Mod. Code	Comments	

(See table below for modification codes.)

Mod. Code	Comments	

(See table below for modification codes.)

Modification Code Key:						
A. Characteristics/ Functions	**B. Workload**	**C. Safety**	**D. Inmates**	**E. Special**	**F. Issues**	**G. Post**
A1 - Function A2 - Rank A3 - Priority A4 - Days filled A5 - Shift A6 - Relief A7 - Meals	B1 - Schedule B2 - Activities B3 - Programs B4 - Movement B5 - Documentation B6 - Other	C1 - Backup C2 - Equipment C3 - Technological C4 - Physical plant C5 - Sight lines C6 - Other	D1 - Number D2 - Gender D3 - Custody D4 - Special D5 - Other	E1 - Screening E2 - Testing E3 - Training E4 - No rotation E5 - Scheduling E6 - Relation to other post	F1 - Contract F2 - Union F3 - Court	G1 - Delete G2 - Add G3 - Civilianize G4 - Contract G5 - Pull/collapse G6 - Change duties

Note: Form D is designed to be completed using codes. If your agency analyzes posts by categories, a coding system may already be in place. If not, consider developing a set of post categories for the agency and an accompanying set of codes for use in staffing analyses. The codes used in the example of form D shown in exhibits 7 and 8 are defined in "Key for Post Evaluation and Planning Instrument" at the end of this chapter.

To expedite the evaluation process, record the current information available for the post on form D, part 1, "Current Post Plan," before beginning the evaluation. Entering the current data for each post during the evaluation can become quite laborious and can make the process take longer than is necessary. Documenting the current post plan in advance helps the evaluation progress rapidly and smoothly and also reduces the possibility of overlooking posts that are not readily visible.

Following are instructions for completing form D, part 1. If issues that require attention become apparent in recording the information, note them on form E, "Recommended Post Modification." (Note: At the end of the evaluation, changes recommended for the post are recorded on form D, part 2, "Recommended Post Plan." See "Documenting Issues and Making Recommendations," page 63.)

1. Enter the name of the post in column 1.

2. Enter the post's function in column 2. For evaluation purposes, facility posts should be organized into categories so that each category's staffing numbers and statistics can be analyzed.

3. Enter the post's security rank in column 3. It should be consistent with the nature of the work described and the post's level of responsibility.

4. Enter the post's priority rating in column 4. The priority rating indicates the level of urgency associated with keeping the post covered.

5. Enter the number of days per week that the post is active in column 5.

6. Enter information on the coverage pattern of the post in columns 6 through 13. For each post identified in column 1, enter the number of officers per shift under each shift in which the post is in operation. (See "Key for Post Evaluation and Planning Instrument" at the end of this chapter for an explanation of the shifts used in form D.)

7. If this information is not included in the current post plan, request it.

8. Enter the shift relief status of the post in column 14: Y (yes) if the post requires continuous coverage during the hours it is operational or N (no) if shift relief is not required.

9. Note whether the post is currently relieved for meals and/or breaks (Y/N) in column 15.

10. Add columns 6 through 13 to obtain the number of staff needed to cover the post over a 24-hour period and enter this number in column 16.

11. If the facility has a shift relief factor (SRF) applicable to the post's coverage pattern, enter it in column 17. (Note: This is not the newly calculated SRF described in chapter 8.)

12. Multiply column 16 (total staff per 24 hours) by column 17 (SRF) to obtain the number of full-time-equivalent (FTE) positions required to ensure that the post is covered at all times it is in operation. Enter the result in column 18. If the number calculated does not match that shown in the agency's current staffing plan, make note of this discrepancy in form E.

Evaluating a Post

Armed with the agency's mission, policies and procedures, the current post plan, relevant post orders and rosters, activity schedules, appropriate forms and materials, and a pre-established schedule for post visits and interviews on all shifts, post evaluators are ready to review the posts and learn the practices of the institution. Evaluators should study the post from all aspects before making recommendations for the post.

1. Arrive at the post with all materials necessary to document findings.

2. Be prepared to explain the nature of the evaluation to the staff member occupying the post and to answer questions about the purpose of the evaluation and its effect on the occupant.

3. Locate the post on the current post plan to understand its context in the overall posting scheme of the facility and how it fits into the security chain of command.

4. Obtain and read the post order, if one exists, and the policies and procedures that apply to the post to learn the documented intent of the post. Well-constructed post orders delineate:

   - The name of the post and its working hours, by shifts and by days open.

   - Behavioral principles and guidelines for staff.

   - A list of all responsibilities of the post as well as all accompanying tasks to be performed on each shift the post is active.

   - A sequence of the post's activities and operations. (Sometimes the schedule is a separate document, posted on a bulletin board or in the logbook.)

   - Applicable policies and procedures (usually attached).

   All of this information is needed to complete the evaluation. If there is no post order, obtain the information from the post occupant and from post memoranda.

5. Discuss the post order with the post occupant, checking it against the current post information previously entered in form D, part 1, "Current Post Plan."

   - Review any issues with the post that were noted on form E, "Recommended Post Modification," during the organization stage of the post study.

■ Use form E to note any discrepancies found between the documented post responsibilities and the actual post activities.

■ If the current post plan was not previously documented, enter the information at this time on form D, part 1, following the guidelines presented above in "Documenting the Characteristics of a Post" (pages 53–59).

6. Establish the schedule for each shift, hour by hour. If there is no written schedule, document one by interviewing the post occupant or supervisor. Notice peaks and valleys of activity and demands for supervision. Discuss the flow of activities with the post occupant. Refer to the facility's activity schedule and compare this post with others in the facility.

■ Are there inefficiencies?

■ Is there a perceived disconnect between this post's scheduled activities and those of other posts that operate concurrently?

■ Can efficiencies or economies be gained by adjusting either the schedule of this post or other concurrent posts? What might they be?

7. Observe the functional operation of the post to evaluate workload:

■ Review the post's logbook, if available, to trace the extent to which it maps the post's documented duties and schedule.

■ Determine whether the post requirements accurately reflect the work being performed. Note discrepancies on form E.

■ Closely observe security operations and compare them with the post orders.

■ Observe how the occupant conducts post activities.

■ Observe the amount and types of inmate activities at the post location.

■ Estimate how long it should take to complete the normal duties required during the post's different shifts. Consider the types, number, variety, and frequency of duties. Activities may need to be rearranged and tasks/duties removed or added to establish a reasonable workload. Note issues on form E.

■ Ask the post occupant the following questions:

• Are you actively completing tasks during the entire time you are on duty?

• How long does it take to complete each task? What is involved?

• When are you most busy, and why? What are you doing at those peaks?

• When are the least busy times? What are you doing during those times?

• Are you completing tasks on this post that should be completed by other posts?

• Could tasks be added to this post that are currently being completed by other posts?

• How many prisoners, on average, do you watch and manage during your tour?

Tip: Interview post occupants on all shifts to obtain insights regarding workload, working conditions, and issues affecting the post. Also interview the post supervisor and the occupants of related posts, if any, to better understand the post in the context of the post plan. It is often beneficial also to seek the input of ancillary staff (e.g., health and mental health services), who may have valuable ideas about the assignment of security staff.

- Are there times when there are no prisoners to supervise at this location? Why or why not? Where are they? What do you do with your time under those circumstances?

- Is there a time when professional staff presence might reduce the need for security staff in this area?

- Are you relieved from duty for meals or breaks? If so, how?

8. Observe the post's physical environment to determine how it affects the post's functioning. Is there a modification that could improve safety, efficiency, or use of manpower? Take note of the characteristics in the following list.

- Ability to move the post (as opposed to a fixed post such as a tower or control room).

- Shape and/or configuration of the building or area.

- Presence of a radio or other communication devices.

- Sightlines of the area.

- Lighting.

- Ability to see another post occupant.

- Location of a control room that supports the area (e.g., entry and exit, equipment access, emergency backup, counts).

- Presence of an officer station.

- Presence of locks and method of locking.

- Number of rooms and their functions and whether they are locked.

- Presence and locations of alarm buttons.

- Location of cleaning utilities and equipment.

- Helpful questions to ask the post occupant and others about the physical characteristics of the post location:

  - What is the span of physical space for which you must provide surveillance?

  - Where are the blind spots in the area?

  - What is the most strategic place in the area for maximum span of sight?

  - What movements must you make to see the entire physical space?

  - Can you hear movement and voices within the area?

  - Do you feel safe in this location? If not, what would make you feel safer?

  - Which post occupant is your backup and where is his/her post located? Is that backup reliable?

  - Where and what is your technological backup? Do you trust it? If not, why not?

  - How many nonsecurity professional staff must be shared with other facility units?

Tip: Many times a work location (e.g., administrative segregation) may have more than one post operating at the same time under identical post orders. If this is the case, it is likely that an informal division of labor has occurred. Establish the actual division of labor and make determinations about the posts based on the division. Report the need for individual post orders for the posts in question so that each one can be evaluated on the basis of its own duties in future staffing analyses. Discuss any issues and possible solutions with the post occupants and, later, with other posting team members. Use form E to document findings and make recommendations.

Tip: If the occupant or others characterize the post as dangerous, review the number of assaults that have occurred in relation to the post.

9. Consider the nature of the prisoner population supervised by the post to determine whether the number of staff assigned is sufficient to control the inmates present:

■ Take stock of the following prisoner characteristics:

• Number.

• Gender.

• Age.

• Custody level (i.e., maximum, close, medium, minimum). (Are multiple custody levels present—e.g., medium and close, medium and minimum?)

• Institutional classification (e.g., disciplinary segregation, administrative segregation, general population, honor unit).

• Behavioral profile/mental state (e.g., aggressive, passive, anxious, depressed, personality disordered, emotionally disturbed, psychotic, suicidal, special issues).

• Physical condition (e.g., mobility, conditions of illness).

■ Consider the type of supervision used by the post (direct, indirect, or a combination of both).

■ Ask the following questions:

• How much direct contact do you have with prisoners?

• Are there too many prisoners to supervise safely?

• Is the prisoner activity level appropriate for the type of inmate you are supervising?

• Is the prisoner activity level manageable? If not, what could be done to make it manageable?

• Is anything particularly dangerous about the prisoners you supervise? If so, are the provisions for supervising relatively dangerous prisoners adequate at this post?

• Do you think you are qualified to deal effectively with the prisoners under your supervision? If not, what do you need to become qualified?

• How dangerous is this post compared with others in the facility? Why do you consider it dangerous/not dangerous?

10. Consider the post in relation to other posts and other facility functions, particularly with regard to the management and treatment of special populations. It is important to look for opportunities for staffing improvements in this context. Consider the following:

■ The post's interaction with and functional relation to other posts, not only in the area, but in other parts of the facility.

■ Post tasks in relation to overall facility workload.

■ Interactions between post staff and staff in other disciplines, such as inmate programs (e.g., education, industries, vocational training), inmate services (e.g., food, laundry, mail, commissary), mental health and medical services, support services (e.g., maintenance, vehicles), and administrative services.

■ The need for security staff with special training for special functions or populations.

11. Consider other factors that may affect the post:

■ Contingencies for cross-gender staffing.

■ The need for a dedicated cadre of officers for a specific function, thereby affecting post rotation schedules.

■ Staffing stipulation(s) in the labor contract.

■ Staffing requirements negotiated with service providers.

■ The ratio of security staff to inmates.

Documenting Issues and Making Recommendations

After reviewing the post thoroughly from as many perspectives as possible, the evaluator is ready to complete the post study by documenting any issues that require attention and drafting recommendations for the post.

1. Use form E, "Recommended Post Modification," to document recommended modifications to posts and any related considerations.

■ Complete a separate copy of form E for each post that is the subject of recommendations.

■ Indicate that form E was completed for the post by placing an X in column 20 of form D, "Post Evaluation and Planning Instrument," part 2, "Recommended Post Plan."

■ Attach all completed copies of form E to form D when submitting the post analysis to higher authority.

2. Complete form D, part 2, "Recommended Post Plan" (see exhibit 8, page 55). Where change is being recommended, enter the new information. If change is not being recommended, copy the information from the current post plan (form D, part 1) to the appropriate space in part 2. **For each column and row completed for the current post plan, fill in the corresponding column and row for the recommended post plan.**

■ **Post attributes (columns 21 through 24):** For each post evaluated, enter the recommended function, rank, and priority codes and the recommended number of days per week that the post should be in operation.

■ **Shifts (columns 25 through 32):** Should there be a change in the pattern of post coverage? For each post evaluated, enter the number of officers per shift under each shift the post should be in operation.

Tip: Use the facility activities chart (form A; see chapter 7) developed during the organization stage of the staffing analysis to consider post activities within the context of facility operations and activities.

Tip: The decision to add or delete posts should be made by a high-level authority. In a number of states, post changes are made at the deputy commissioner level. For example, in Maryland, post change recommendations must go to the Legislative Assembly.

- **Shift relief (column 33):** Does the post require shift relief? Enter Y (yes) if the post requires continuous coverage during the hours it is operational or N (no) if shift relief is not required.

- **Meal breaks (column 34):** Should the post be relieved for meals and/or breaks? Enter Y (yes) or N (no).

- **Total staff per 24 hours (column 35):** For each post evaluated, add the number of staff per shift (columns 25 through 32) to obtain the total number of officers needed in a 24-hour period.

- **Recommended shift relief factor (column 36):** Enter the appropriate SRF from among those that were developed as part of the staffing analysis (see chapter 8). The SRFs shown in exhibit 8 are taken from exhibit 6 in chapter 8 (page 47).

- **Recommended number of FTEs (column 37):** Multiply column 35 (total staff per 24 hours) by column 36 (SRF) to determine the number of FTE positions required to ensure that the post is covered at all times it is in operation over the course of a year.

Before recommendations are made final, the posting team may have to deliberate to reach agreements about judgment calls, the desired degree of uniformity in post plan patterns across facilities, and so forth. If multiple facilities are being evaluated simultaneously, all team members and the staffing analyst in charge should discuss opportunities for changes that would benefit all facilities.

3. Review the completed post recommendations from a facility perspective. Consider carefully how they work together to support operations and activities. If revisions are required, this is the time to make them.

4. Ensure that all required information is entered on form D and on form E, if applicable. Do not forget to enter the appropriate SRF for all relieved posts or to calculate totals.

5. Summarize the findings of the post study and submit them, along with the new post plan, to the staffing analysis team. The report should follow the agency's standard format and include the following:

   - A narrative explaining the conduct of the post study. (Who? What? When? Where? How?)

   - A summary of issues with tabular and graphic exhibits to illustrate any patterns and themes observed across posts.

   - A summary of recommendations with supporting tabular and graphic exhibits.

   - A printout of the post evaluation and planning instrument (e.g., form D, parts 1 and 2) with data entered.

   - The recommended post plan, presented in the agency's standard format.

- Summary charts showing changes from current to recommended post plans.

- Copies of all specific issue and recommendations sheets (e.g., form E).

6. Make revisions resulting from supervisory reviews. The staffing analysis team will use the post plan, along with the shift relief factors for different job classifications, to compute the facility's security complement. (See chapter 12, "Staffing Calculations.)

Key for Post Evaluation and Planning Instrument

Post Functions (columns 2 and 21)	
C	Command
CS	Command support
H	Housing unit
P	Perimeter/towers/gates
CTL	Control centers/points
IM	Internal movement (yards, yard pathways, inmate work crews, building perimeters)
ISP	Internal operations, services, and programs (dining, education, recreation, medical, food, property, commissary)
EM	External movement (transportation, movement outside the secure perimeter)
ESP	External operations, services, and programs (work detail, visitation)
Ranks (columns 3 and 22)	
M	Major
C	Captain
L	Lieutenant
S	Sergeant
CO	Correctional Officer
O	Other
Priorities (columns 4 and 23)	
M	Mandatory/critical complement (cannot be left unfilled without jeopardizing safety and security)
E	Essential (needed for normal operations but may be temporarily interrupted without significant impact; recommended for staffing at least 75 percent of the time). Example: visiting room.
I	Important (coverage on an irregular basis does not adversely affect facility operations; recommended for staffing at least 50 percent of the time). Example: second officer in a dormitory, fifth officer in mess hall during peak hour(s).

Continued on next page.

Key for Post Evaluation and Planning Instrument (continued)

Shifts (columns 6–13 and 25–32)	
Office	The standard 5-days-per-week shift, normally Monday through Friday, 9 a.m. to 5 p.m.
Day, 8 hours	Begins at different times of the day, but normally starts between 5 and 8 a.m. Usually operates 7 days per week.
Evening, 8 hours	Begins at different times of the day, but normally starts between 1 and 4 p.m. Usually operates 7 days per week. (Some staff also refer to this shift as the "afternoon shift.")
Night, 8 hours	Begins between 9 p.m. and 12 a.m. Usually operates 7 days per week.
Day, 12 hours	Normally begins at 6 a.m. and operates 7 days per week.
Night, 12 hours	Normally begins at 6 p.m. and operates 7 nights per week.
10-hour overlapping	Operates 10 hours per day, four times per week, normally overlapping the day and evening shifts.
Other	This label is reserved for identifying other shifts that might be in use.

CHAPTER 10

Special Guidelines for Evaluating Housing Units

Chapter 9 provided guidance in the mechanics of post planning: organizing the post study, analyzing the posts in a facility, and documenting the information collected and recommendations for improvement. This chapter focuses on the complicated issues associated with security staffing for housing units.

Housing unit posts are of basic importance in a facility. Housing officers are responsible for controlling the behavior and activities of large numbers of inmates for sustained periods of time. Special attention and analysis of housing unit staffing is critical for many reasons, including the following:

■ To ensure adequate and safe inmate supervision and institutional security.

■ To manage the scheduling and deployment of the largest category of facility staff effectively.

■ To reduce the facility's budget by identifying efficient, yet safe, strategies for trimming housing staff expenditures.

This chapter begins with a brief examination of the economics of housing unit posting and then focuses on the implications of the many and complex factors that affect post decisions in housing units. Because the shape and configuration of a housing unit have a sweeping and significant impact on staffing decisions, the chapter also explores typical housing designs and provides tips for staffing analysts who are called on to review and provide input into housing designs for new facilities. The chapter concludes with a discussion of prototypical staffing of housing units for uniformity and economy.

Economic Significance of Housing Unit Posts

When it comes to financial planning, there are no more important posting decisions than those made for an agency's/facility's housing units. Housing units are normally replicated numerous times in a facility, and most require 7-day, 24-hour posts. A decision to add, delete, or modify a housing unit post affects personal services budgets significantly.

Take, for example, a housing post that must be covered by a corrections officer for 24 hours per day, 365 days per year. Using a common rule of thumb, that post requires approximately five officers to keep it occupied. Assuming, for example,

that an average officer makes an annual salary of $25,000, this post will cost $125,000 per year. If this same post occurs in 10 identical housing units in a facility, the post costs $1,250,000. If five facilities within an agency use the design of this housing unit as a prototype, and each facility has 10 of these units, the cost of this post is $6,250,000. This example demonstrates the economic importance of making wise staffing decisions in housing units.

Keep the following guidelines in mind, especially when the staffing analysis is driven by budgetary issues:

- A replicated housing unit post that can be eliminated represents the best opportunity for large reductions in staff costs.

- When considering deleting a 24-hour housing post, give due diligence to security and safety policies, procedures, and practices to ensure that security and safety are not compromised. If eliminating a post results in a security incident, the posting decisionmaker will be held responsible, not the budgeting staff.

- Accordingly, the deletion of a housing post should be approved by an authority with the commensurate level of responsibility (e.g., chief of security, deputy warden, deputy agency administrator for operations).

- Post deletions are not the only means of saving costs. There are almost always creative ways to staff a housing unit for improved efficiency and many times for improved economy. Scheduling housing activities to achieve downtime and collapsing posts during the times inmates are away from housing units can make staff available to provide needed relief to other facility posts, thereby saving relief money.

- Study the configuration of a cluster of housing units to discover any flexibility that might present an opportunity for more efficient staffing.

Factors That Influence Housing Unit Post Decisions

A housing post must be constructed so that the post occupant can maintain safety and security while conducting routine and scheduled tasks, addressing inmate problems, attending to relevant facility operations and activities, and maintaining a calm atmosphere in the unit. In making post decisions for housing unit posts, the following characteristics must be taken into account: the number and types of inmates housed, the method of supervision, the unit's 24-hour routine and activities, posts requiring specialized screening and training, and the physical environment.

Number of Inmates Housed

There have been attempts to provide standards for measuring the minimum number of staff required to supervise a given number of inmates. Some have used norms, such as 1 staff member to 4 inmates up to 1 staff member to 10 inmates or more, to set benchmarks for sufficient staffing of a facility. In a number of

jurisdictions, unions have negotiated the minimum number of staff required for a facility and even the minimum ratio of staff to inmates in housing units. These kinds of metrics are at best guesses and at worst manipulations for less work and more money. There is no doubt among staffing analysts, however, that the level of supervision required for a given number of inmates in a housing unit is directly affected by the design capacity of the unit and inmate movement and activities within the unit.

Design capacity

A housing unit is designed for a particular number of inmates. Planners base the design of all aspects of the unit on that occupancy number. For example, the numbers of showers, toilets, sinks, tables, desks, and chairs are calculated to serve the maximum number of inmates estimated to be using them at peak times. Likewise, the unit is designed to have a certain number of posts.

The greater the number of inmates, the greater the demand for the use of equipment such as showers and toilets, the more inmates are likely to be in the dayroom space and in activities, and the more need there is for supervision over and above what was estimated when the post(s) were established.

If the unit is housing more inmates than the design was intended to accommodate, consider how the increase in inmates affects the post and what physical or procedural modifications can be made to reduce inefficiency. An example of a physical accommodation is installing more plumbing, if possible; an example of a procedural accommodation is scheduling fewer inmates to be out of their cells at one time.

Inmate movement and activities

The actual number of inmates who are free to move about the unit affects the officer's ability to control them safely. It is important to ascertain how many inmates are out of their cells at given times and what they are doing, how these factors vary throughout the shift, and what the peak number of inmates is during each shift.

The following factors associated with inmate activities affect housing unit staffing decisions:

■ Number of inmates free to move about in the dayroom.

■ Where the inmates eat (in or out of their cells, housing unit day room, or central dining facility).

■ Location of showers/toilets (wet versus dry cells).

■ Employment and programming.

Types of Inmates Housed

In deciding where to house prisoners, an administrator takes into account their gender; custody classification (and sometimes personality types within the classification); institutional behavior; medical, mental health, and age-related needs; and, in a number of agencies, enrollment in programs (e.g., substance abuse, work programs). A housing unit's mission in the context of the facility's mission can determine a post's responsibilities and, in some instances, the number of security staff required on the unit. When making decisions about posting in housing units, take the following prisoner characteristics into account:

- **Gender.** Although post orders may vary between male and female housing units, only the workload is normally considered. For example, housing for pregnant women and for mothers with visiting children will require different duties, but the number of staff will be consistent with workload. The gender of the inmates influences the gender of the staff only insofar as privacy and propriety are concerned, and post evaluators should note when those issues indicate gender-specific staffing.

- **Custody classification.** Post supervision is prescribed according to institutional risk. Custody classification dictates the amount/degree of supervision required for inmates consistent with the protection of the community, inmate(s), and staff with regard to day/night movement, general surveillance, access to programs and jobs, and leaving the institution. (See sidebar "Guidelines for Supervision by Classification Custody Level, pages 81–83.")

- **Personality type.** Some agencies/facilities house inmates by personality/ behavior type, matching them with staff whose supervisory styles are most suitable. This housing management method requires special inmate management training and careful, if any, rotation of staff (unless staff being rotated have been adequately trained).

- **Disciplinary detention.** Detention units require enough posts to take into account that most agencies mandate that two officers be present to lock and unlock doors for inmates, especially on day shifts during showers and other activities. An administrative segregation unit requires even more staff because certain services, programs, and hearings have to be provided on the unit. These units require the same type of post supervision as maximum/supermaximum custody units (see sidebar "Guidelines for Supervision by Classification Custody Level").

- **Medical, mental health, and age-related needs.** Medical, mental health, and geriatric housing units may not require as much supervision as other units because medical and mental health staff enter and leave the unit regularly. The nature of the work, however, differs substantially from supervision of general-population inmates and requires specially trained officers who work exclusively in the unit and do not rotate to other posts. Some inmates in mental health units must be observed constantly to prevent self-mutilation and suicide and,

Tip: Female inmates may respond better to housing by personality/behavior type than to separation by custody level because in some instances their special needs (such as prenatal care, mothering of newborns, and psychiatric and psychological treatment) override their security risk scores.

in many instances, restraints must be used. (In some agencies, inmates in these units are supervised by mental health workers, in others, by officers.) On day shifts, posted officers spend about one-fourth of their time conducting security procedures (primarily entry/exit procedures), about one-third managing the inmates' daily regimen (bathing, dining, cleaning), and the balance facilitating medical/mental health and other activities (e.g., visiting, counseling, casework). The evening and/or night shifts require more security and less supervision of inmates' regimen and activities. Supervision policy and procedure vary across state systems.

■ **Therapeutic needs.** A therapeutic community (e.g., for substance abusers) provides structured living and requires strict accountability. In these units, counselors supervise intense and sustained activities with a program focus. Good posting practice requires that these posts be occupied by specially trained officers who work exclusively in the unit and do not rotate to other posts. On day shifts, posted officers spend about one-fourth of their time conducting light security procedures (mainly accountability and substance-abuse surveillance); very little time managing inmates' daily regimen, except for meal distribution (because the program includes these responsibilities); a third of their time facilitating program activities; and the balance managing inmate visits, supplies, commissary services, and so forth. The evening shift requires only slightly less activity, but the night shift performs mainly security functions. Supervision policy and procedure vary across state systems.

■ **Participation in work programs.** Some administrators house certain types of work crews (e.g., industries, kitchen, laundry, maintenance, work releasees, prereleasees) in separate housing units. This arrangement allows management to close the housing post during work hours so that the post occupant can be redeployed elsewhere (for relief of other posts during staff mealtimes, for example). Such an arrangement requires provision for inmates on sick leave or taking visits. Other than for closing the post during prisoner work hours and redeploying its occupant, this housing unit post functions according to custody level.

Method of Supervision

There are two operational philosophies of inmate supervision that translate into two supervision styles: direct supervision and indirect supervision.

Direct supervision is based on the belief that face-to-face, substantive communication contributes significantly to effective supervision. Using this style, staff can defuse potential incidents between inmates, stay in touch with inmates to prevent group disturbances, explain policies and procedures, enforce rules informally and fairly, and serve as role models for good behavior. Administrators who choose this method place emphasis on officers posted in the housing units being specially trained to interact effectively with inmates while moving about, orchestrating routines and activities, and seeing to the safety and security of the unit.

Indirect supervision is based on the belief that face-to-face interaction with inmates is outweighed by the risk of harm to the officer. On a more practical note, administrators may choose indirect supervision because one officer can control a larger number of inmates, thereby saving personal services funds. Indirect supervision requires barriers between posted officers and inmates (e.g., officers stationed in a control room with access to locking controls for the unit). Indirect supervision posts are by nature fixed, unless they are used in combination with direct supervision (e.g., "rovers" who move through the housing unit to perform duties such as security checks).

In many jurisdictions, administrators of more modern facilities choose to combine indirect and direct supervision, believing that the two forms work together to provide the most effective supervision. Many housing units are designed so that one control room post can control unit doors and cell locking for two to four housing units, freeing direct-supervision officers in the units to conduct their duties with greater safety and less time and motion. On a more practical note, combining the two forms of supervision increases flexibility because it allows the number of posts to vary widely according to the priority for filling them, availability of staff, and availability of funds to support the number of posts desired.

Unit management, widely considered the preferred type of supervision, uses not only direct supervision but minimal rotation of staff in a housing unit. This semi-autonomous form of management can be staff intensive, depending on the version. For example, some forms of unit management require exclusive officer assignments and keep many functions and services in the unit instead of having inmates access them in other parts of the facility; other forms keep only food service, mail, commissary, and sick call in the unit. Although the number of officers who escort inmates may be reduced because so many of the facility's functions and activities take place in the unit, the total number of officers required to bear the workload in the unit may increase.

Unit's 24-Hour Routine and Activities

Each facility has a daily routine and activities that influence the number and type of posts throughout. The housing unit, the facility's microfacility, has yet another important layer of routines and set of activities. The workflow and workload of these routines and activities must be examined to determine the number of posts required to operate the unit.

In terms of security, the location of inmates during the course of the day determines the level of duty for the post. When evaluating a post, it is important to know what times inmates are out of their cells/rooms and in the unit for activities as well as the times they are outside the housing unit for particular functions, programs, and activities.

Ideally, the post's workload should be spread throughout the day as much as possible. The period from when the inmates wake until the close of normal

business will certainly always be the busiest. Analysts should, however, evaluate the morning/day shift to ascertain whether certain morning activities can be deferred until later in the day. When the unit does not have a relatively even flow of activity, it can become a hectic, tense place where no one, neither staff nor inmate, feels comfortable.

When logjams of activity occur frequently, and especially if a high-profile incident occurs during one of those times, staff may believe that there is a critical need for an additional post. If the analyst does not recognize that the schedule allows sick call, showers, sanitation work, maintenance inspections, and chaplains' visits to occur at the same time, he/she might make the mistake of adding a post instead of recommending modifications to the unit schedule.

It is therefore important to examine the unit's workload in light of its schedule. A well-documented logbook reveals the actual flow of activity over several days. If documentation is not available, the analyst should construct a schedule by interviewing the post occupant(s) and then compare this with actual events with the intended schedule.

Several typical problems can be solved by scheduling and rescheduling activities:

- Two or more mandatory housing unit routines (sanitation and meals, to cite an extreme example) may be scheduled for the same time period. Although it often is a simple matter to resolve scheduling conflicts, such conflicts can go unresolved for years out of habit. The evaluator should catch the issue, discuss it with the post occupant, and recommend a schedule change.

- Nonsecurity staff may show up to conduct business with inmates in the middle of a routine activity. For example, if sick call is held on the unit, the medical staff might show up just after a large group of inmates has been released from their cells to shower. Such issues can be resolved by working with other disciplines to agree on manageable times.

- Several inmate services personnel may regularly show up to provide services simultaneously. For example, laundry deliveries may occur at the same time as the mail, commissary, medication, or food deliveries. If these workload conflicts are not resolved by scheduling changes, they often lead to unnecessary requests for more staffing.

The only sacred activities on the housing unit's schedule are those associated with safety and security. They are the last activities on the schedule to consider when attempting to resolve workload and/or workflow conflicts for the housing unit.

Posts Requiring Specialized Screening and Training

In housing units for special populations (those other than general males in close, medium, minimum, or community custody), post occupants should be screened for the specific personality characteristics necessary for the work and should be

given special training before they assume the posts. Although this does not change the post plan, it may necessitate a staffing exception for the housing unit that disallows specially trained staff from rotating among other posts in the facility.

Requiring specific staff for special populations has important implications. When certain staff cannot rotate through posts, scheduling can become problematic. In addition, money must be spent to provide special skills training to post occupants before they assume the posts, and if a trained staff member is unavailable for a post at any given time, overtime expenditures may become necessary. Following are examples of populations that require specially trained post occupants:

- Inmates in transition (i.e., in reception areas) who are likely to be unstable.

- Female inmates with special needs (e.g., inmates in the last stages of pregnancy or mothers with children in the unit).

- Inmates under disciplinary detention or administrative segregation (e.g., inmates with a high potential for violent behavior or highly agitated inmates).

- Older inmates (e.g., patients with dementia or suffering from physical deterioration).

- Inmates with medical needs (e.g., chronically ill or severely disabled inmates).

- Inmates with mental health needs (e.g., inmates who are threatening suicide or are experiencing side effects of psychotropic medications).

Be sensitive to the implications of specialized posts and take them into account, especially with regard to scheduling and rotation.

Physical Environment

The relationship between the physical structure of the housing unit, the housing unit post(s), and the inmates under supervision is complex. Following are some of the many physical characteristics that may influence decisions about post duties and the number of posts required:

- **Housing design.** Housing design (e.g., pod, cellblock, single or double cells, multioccupancy rooms, dormitory) is the most influential factor in staffing. The shape and internal configuration of housing space govern a post's capability of functioning within that space. Some designs afford security and flexibility in staffing, while others are more restrictive and even dangerous. (See "Examples of Housing Unit Designs With Staffing Flexibility," page 77.) Design is also the most difficult feature to modify to improve function.

- **Presence of video surveillance in some or all cells in the unit.** In some instances, such equipment substitutes for human presence, although a post should be assigned to monitor the video screen(s). Video surveillance can compensate for poor sightlines and also is a helpful tool in suicide watches.

- **Presence of an officer station.** It is best to avoid establishing a post equipped with a computer or other device that cannot be left. A desk or folding table can be strategically placed for observation, is not as restrictive in posting, and fosters more direct supervision.

- **Presence of an intercom system and/or radio communication devices.** Access to this equipment enhances security and backup and can sometimes substitute for another officer when it is difficult for one officer to attend to the needs of a large number of inmates. This is particularly true if the inmates are confined in locked cells most of the time. An intercom system allows staff and inmates to interact during the night shift, when it is desirable to remove posts from inside the housing units and use roving posts for intermittent supervision.

- **Capacity and configuration of dayroom space.** The dayroom should be configured to ensure efficient pathways that do not put officers in undue physical jeopardy. Thus, fixed tables and chairs must be configured for best control and observation. Consider inmate and staff security when making any decision regarding placement, type, and number of pieces of furniture. These considerations are especially important for indirect supervision.

- **Sightlines.** The ability to observe all cell fronts, functional spaces (e.g., bathroom facilities), stairwells, and dayroom movement from very strategic physical positions is critical for both direct supervision by a floor officer and indirect supervision from a control room. Sometimes an agency or facility may assign additional officers because of observation issues. In posting, it is important to consider all options for solving sightline problems before adding a post. Consider, for example, using strategically placed mirrors, adding lighting in dark spots, closing in alcoves, and removing risers in stairs.

- **Lighting in common areas and in cells/rooms/unit offices.** If lighting does not provide adequate visibility, additional lights or wattage may be required for both direct and indirect surveillance in the unit.

- **Sound effects.** If there is inadequate baffling in a large housing unit, officers (supervising directly or indirectly) cannot detect sound irregularities that might indicate security problems. Simple modifications to absorb echoes and reverberation can sometimes heighten the safety and security of the housing unit.

- **Method and source of locking and unlocking.** The unit's type of locking system (electronic versus key, control room, podium board, or screen inside the housing unit) is an immediate determining factor for staffing. For example, if a control room is located outside a housing unit and an unprotected redundant lock control panel is at an officer station (fixed post) inside the housing unit, the inside post has little flexibility. The posts cannot be collapsed when any inmate is out of his/her cell; the control room officer cannot assume control of the unit unaided unless all inmates are locked down. While key distribution

under certain circumstances can be managed with a simple handoff, control panels cannot be handed off. Also, if the outside control room post does all locking and unlocking of unit doors, the control room post cannot be collapsed.

- **Whether/when cells/rooms are left open or inmates have keys to their cells/rooms.** When sleeping areas are left open, more surveillance is required to prevent theft and vandalism of others' property. When inmates have keys that are used under strict rules (in lower custody situations) the level of surveillance may decrease.

- **Proximity of a control room that supports the unit.** The presence of a large control room with two posts in close proximity to a housing unit may enable the second post to be collapsible.

- **Number and functionality of dedicated spaces inside the unit for professional program functions and service delivery** (e.g., classrooms; arts and crafts and equipment storage; rooms for sick call, counseling, group therapy, and medication administration; computer stations; recreational area). When other staff are in the unit for periods of time during a shift, the post evaluator may consider reducing the number of posts by collapsing them during those times.

- **Locking of all dedicated rooms other than cells/rooms.** The more rooms, the more to lock; the more locking (unless it is done remotely), the more posts required for the unit.

- **Rooms/cells for constant observation of ill or unstable inmate(s).** In mental health units (and sometimes reception units) in some facilities, constant watch cells require temporary posts for the duration of the watches.

- **Alarm buttons and their locations.** If alarm buttons are strategically placed, visual backup can be intermittent and spaced at longer intervals. If the offices where counselors, nurses, chaplains, and other nonsecurity staff work with inmates are equipped with alarm buttons, the need for a security post to maintain strict surveillance is less critical.

- **Location of showers.** Showers require close observation when in use. Depending on the unit's configuration, if other scheduled activities are taking place while showers are being used, an additional post may be needed. Both the location and the schedule influence posting.

- **Location of cleaning utilities and equipment.** Although these storage areas normally remain closed and locked, they require the attention of a housing unit post when open. This is another important example of how the number of posts should be adjusted according to the type and schedule of activities within the unit.

Other Factors

Staffing analysts must consider a few other issues when evaluating security staffing in housing units. Although the following issues do not fit in the categories enumerated above, they still influence staffing significantly:

■ The number and types of nonsecurity staff working in the unit.

■ The duration and frequency of the presence of professional/nonsecurity staff in the unit.

■ Mental health, counseling, and medical staff's perceived needs for security while working in the unit.

■ Union contract provisions for staff/inmate ratios in a housing unit.

Nonsecurity staff who work regularly or intermittently in the unit (e.g., medical, mental health, counseling, commissary, food service, mail workers) may augment the staffing complement but also may either pose or reduce security risks, thereby dictating the need for either fewer or more staff. For example, higher custody levels may require more officers to protect nonsecurity staff than lower custody levels. On the other hand, if nonsecurity staff are only present for short periods of time, a reduction or increase in officers is probably not necessary because the officers' duties are not likely to be disrupted. In evaluating such situations, the staffing analyst cannot overlook the power of the union contract to affect the complement.

Examples of Housing Unit Designs With Staffing Flexibility

Several housing unit designs provide good opportunities for different levels of staffing. Two such designs are discussed here: (1) two adjacent units joined by a control room and hallway and (2) a quadrangle of four units surrounding a foyer with a central control room.

Two Adjacent Units Joined by a Control Room and Hallway

The housing design shown in exhibit 10 is made up of two units that share a control room with the following characteristics:
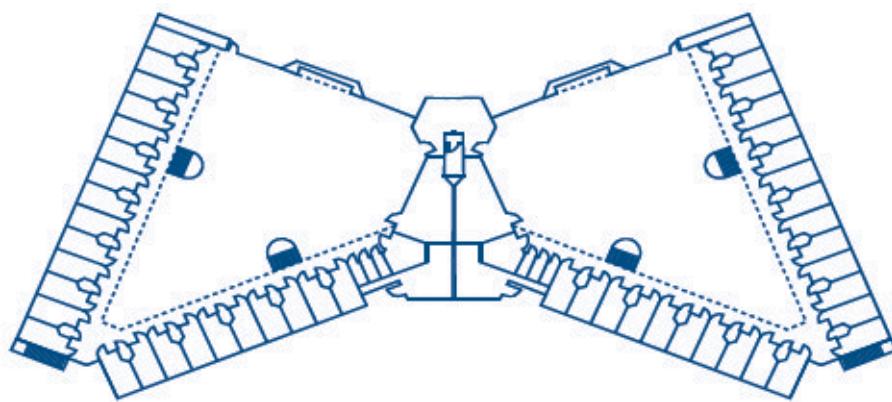
■ Observation of both units with sightlines that allow the officer to see all cell fronts.

■ Capability to communicate with dayroom occupants.

■ Capability to communicate with cell occupants.

■ Capability to lock and unlock cell and unit doors.

Both units have access to the control room; conversely, the control room post can move into either unit. A common hallway gives access to the housing units as well.

The units can be staffed by one to three officers. Robust staffing allows for three officers: one in each of the housing units and one in the control room. All the officers have one another as instant backup, and the control room officer provides all locking/unlocking and is available for constant communication with staff and inmates.

A step down in staffing numbers allows one officer to remain in the control room and one officer to float between the units. The control room officer handles the tasks as described above but may also leave the control room to directly supervise inmates. If continuous observation of both units is required, the control room officer can supervise both units under indirect supervision, with direct communication still available electronically.

Exhibit 10. Schematic Design of Two Adjacent Units Joined by a Control Room and Hallway

If intermittent supervision is allowed, one officer can enter the hallway intermittently from without and check both units, entering either unit by key if necessary, and/or use the control room to communicate with either unit as necessary.

Quadrangle of Units Surrounding Foyer With Central Control Room

The housing design shown in exhibit 11 is quite flexible, and variations on this configuration are popular in new prison construction. The design is composed of four housing units joined by a hallway/foyer that contains a control room at the center.

The control room features include:
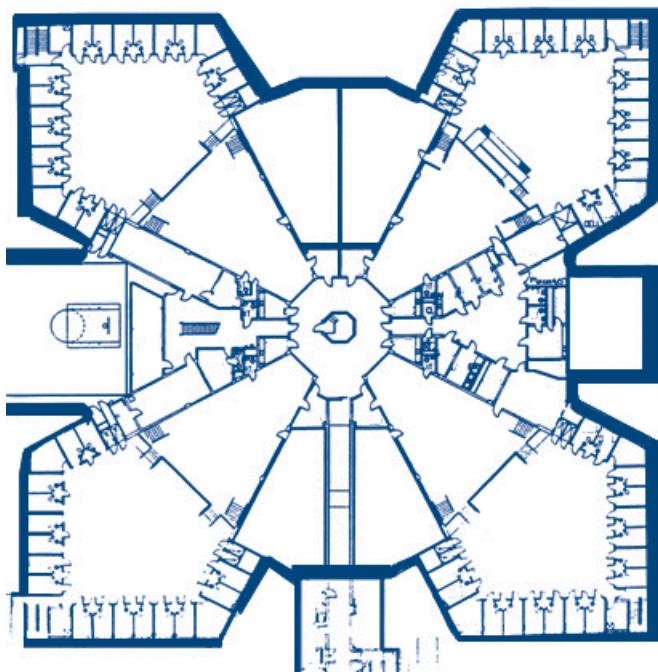
■ Observation of all four units with sightlines that allow the officer to see into the units, assisted by video surveillance.

- Capability to communicate with dayroom occupants.

- Capability to communicate with cell occupants.

- Capability to lock and unlock cell and unit doors.

Because the complex can operate with as many as six officers and as few as one, it is a configuration that can be staffed up or down according to activity levels. With this housing design, it is particularly important for the staffing analyst to know the schedule of housing activities. At peak levels, all posts may be needed, but when activities are controlled and staggered, posts can be collapsed and used in other parts of the facility. Only on the morning shift will full posting be required, and even then, opportunities to collapse posts may occur. At night, only the control room and the hallway need be staffed.

This and other innovative configurations allow flexibility and point to the importance of working with housing unit and facility schedules to exploit staffing possibilities.

Exhibit 11. **Schematic Design of Four Units Surrounding a Foyer With a Central Control Room**

Tips on Designing Housing for New Facilities

■ When designing a new facility, recognize that the part of the design with the potential to waste or save the most money is the housing unit.

■ Design housing units to allow flexibility in staffing up or down, according to the conceivable variations in the unit's use.

■ Be careful in choosing indirect or direct supervision; avoid establishing fixed posts whenever possible.

■ Recognize that combinations of indirect and direct supervision, when designed carefully according to locking responsibilities and sightlines, can increase staffing flexibility, allowing a post of either type to collapse (or even be closed) in response to prevailing conditions.

■ Consider designing housing units with fittings for additional beds and with generous amounts of equipment so that when inmate numbers increase, both equipment and beds can be increased without significant increases in the staffing pattern.

■ In designing units that will house the same custody levels, explore opportunities to segment/partition the units so that one or more of the unit's posts can be collapsed for periods of time. For example, if the security level of the unit is medium and if the unit is designed with three discreet spaces for housing, then an administrator may assign inmates who go to work or to industry assignments during the first shift on Monday through Friday to one of the discreet spaces. If a post is assigned to that space, it can be collapsed during the first shift on Monday through Friday and be opened on Saturdays and Sundays.

■ Look for opportunities for efficiency and savings in the housing unit's scheduling patterns and cycles.

Prototypical Housing Unit Staffing

Large agencies with numerous facilities find it advantageous to define default staffing for housing units of similar design. Prototypical staffing saves time and effort in the posting process and establishes uniformity across facilities in the agency, precluding wardens from concluding that favor has been shown to a sister facility whose similar housing units have been granted more staff.

To set up a staffing prototype, locate and categorize housing units that are similar in design and function and study each unit type according to the variables discussed above. Recommend standardization of staffing patterns where appropriate and develop contingencies for staffing units differently for a range of possible situations. It is also necessary to specify the staffing patterns for the different priority levels for filling the posts.

During an analysis, if one or more of the variables have changed so that staffing patterns must change, refer to the guidelines that have been offered in this manual and make recommendations accordingly. The only issue with prototypical staffing is that a situation may arise that demands change but for which there is no guideline.

Guidelines for Supervision by Classification Custody Level

Supervision policy and procedure vary across state systems.

Maximum Custody

Maximum custody inmates require the greatest degree of supervision because of the significant danger they pose to others and/or the institution. Inmates are classified as maximum custody on the basis of criminal history, institutional misbehavior, escape history, and/or high-profile crime(s). These inmates are subject to the greatest degree of observation and most stringent security and are restricted to their cells most of the time. Maximum custody inmates require restraints when moving in the institution and hand and leg restraints. They require armed supervision on trips outside the secure perimeter (e.g., court appearances or urgent health issues). In housing units, maximum-custody inmates are kept in their cells unless there is cause for them to leave their cells (including highly supervised group activities such as dining, recreation, works, and programming).

High/Close Custody

High/close-custody inmates have demonstrated by their conduct in the community (e.g., serious crimes) and/or their prior institutional behavior (e.g., assault, escape history) that they pose a threat to the safety and security of other inmates and staff and, therefore, require continual supervision and accountability. These inmates are not allowed outside the facility's secure perimeter except when escorted to court or for health care issues, are prohibited from participating in programming requiring movement outside the secure perimeter, and are constantly observed while inside the unit. On trips outside the secure perimeter, hand and leg restraints and sometimes armed supervision are required. In housing units, these inmates are under continual indirect and/or direct supervision (according to housing design) and are confined to their cells unless there is cause (and usually a schedule) for their being out for routine activities. Posted officers spend up to half of their time conducting security procedures, more than a third of their time managing inmates' daily regimen, and the balance in facilitating activities (e.g., visiting, counseling, medical care, group recreation, supervised work crews, industries).

Medium Custody

Medium-custody inmates require less supervision than those in close custody but more than minimal supervision. They are assigned to regular quarters and are eligible for all regular work assignments and activities under a normal level of supervision. Medium-custody inmates are not eligible for work details or programs outside the perimeter unless supervised, and their inside movements (except call-outs) are subject to the issuance of passes. Restraints must be used on these inmates for any outside movement except supervised work or program assignments. In housing units, medium-custody inmates are under continual indirect or direct supervision (according to housing design), but are not continually confined to their cells/rooms, except at night. Posted officers spend about a third of their time conducting security procedures, about a third managing inmates' daily regimen, and the final third facilitating activities (e.g., visiting, commissary, counseling, medical care, group recreation, supervised work crews, industries).

Guidelines for Supervision by Classification Custody Level (continued)

Minimum/Low Custody

Minimum/low-custody inmates have demonstrated acceptable institutional behavior and are not deemed a threat to the community. They are not continually confined to their rooms, do not need a pass to move within the facility, and may participate unescorted in outside programs and work details on a time-restricted basis. In housing units, supervision of these inmates may be intermittent. Posted officers spend less than a fourth of their time conducting security procedures and about a fourth managing inmates' daily regimen; about half their time is spent facilitating activities (e.g., visiting, commissary, counseling, medical care, group recreation, programming, supervised work crews, industries).

Community Custody

Community-custody inmates, who are assigned to community residential facilities or halfway houses, work and participate in educational programs and other activities in the community. These inmates are deemed to present the least risk to the community and therefore require only periodic supervision appropriate to the circumstances of their particular program or job assignment. In housing units, an officer or counselor is on duty at all times, and inmates abide by house rules of accountability and behavior. Activity is much less restricted than in minimum custody. Posted officers spend a fourth of their time conducting security procedures (particularly checking with inmates' employers), about a fourth managing daily regimen, and about half their time arranging transportation and facilitating activities (e.g., visiting, commissary, counseling, medical care, group recreation, programming).

Unclassified (Admission/Transient)

Inmates with an unclassified custody level have not been assessed formally because they are new admissions or because they are in transit from one facility to another. Since their risk to others and to the facility has not yet been researched, they are managed according to close-custody supervision guidelines.In housing units, these inmates are normally kept in their cells except for hygiene-related activities, controlled exercise, and interviews. Posted officers spend a third of their time conducting security procedures, a third managing daily regimen, and the balance in facilitating activities (e.g., visiting, counseling, medical care, casework, testing, classification interviews and hearings).

Multiple Custody Levels in One Housing Unit

Unless separation of custody levels allows for differentiation of security procedures, the security procedures for the highest level represented are required in the housing unit and throughout the facility.

Special Statuses That Override Custody Levels for Supervision

■ **Administrative Segregation (often characterized as "supermaximum security").** Inmates in this status have been adjudged a critical threat to institutional security by administrative hearing rather than the classification process and assigned to administrative segregation, the highest level of physical and supervisory security. Inmates on death row are classified as maximum custody, but are housed in supermaximum units. These inmates are cuffed leaving their cells and units and uncuffed on return. Posted officers must devote most of their time to elaborate security procedures and managing the inmates' daily regimen, which is limited to bathing, dining, exercising, and very little activity, all of which takes place in the housing unit.

Guidelines for Supervision by Classification Custody Level (continued)

- **Protective Custody (not actually a custody level, but a status).** Inmates who request, or who are deemed by staff to be in need of, protection from other inmates because their safety or lives are in jeopardy are administratively assigned to protective custody. These inmates are housed in an area separate from the general inmate population. They are moved under direct supervision and apart from general population inmates to ensure that there is no contact with potential assailants. Their programming, visiting, recreation, and dining are conducted separately from other inmates.

- **Special Needs Status.** Inmates who have special medical, mental health, and programming needs (e.g., residential substance abuse therapy) are frequently, but not always, housed in separate housing units where all activities and services are performed and where supervision is performed alongside professional therapists and medical personnel.

CHAPTER 11
The Impact of Staff Scheduling on Staffing

Some practitioners say that scheduling is a separate matter from staffing analysis, and they are correct that training in staffing analysis need not dwell on scheduling. However, when practitioners in agencies are developing schedules, they should calculate the number of days the schedule will produce per officer per year. It is not a pleasant surprise to learn, for example, that a newly implemented schedule has brought about the necessity for overtime.

During an NIC seminar on prisons, Gail Elias and John Milosovich discussed the shift relief factor and alluded to the impact of scheduling:

> Just as there are many factors that influence the staffing pattern, there are many determinants of the availability factor. These are typically items associated with personnel, such as staff schedules and work cycles. . . . [N]ot all schedules are equally advantageous to management. Some schedules provide employees with much more regularly scheduled time off. For example, a standard 5 days on, 2 days off schedule results in staff working 261 days a year, but a standard 6 days on, 3 days off (even with a slightly longer work day) results in staff working 245 days a year—before other types of leave.[1]

In NIC's *Staffing Analysis Workbook for Jails* (2d edition), Dennis R. Liebert and Rod Miller recommend using the staff coverage plan (i.e., the post plan) to develop an approach to staffing that will efficiently meet the facility's coverage needs. Observing that "substantial creative effort is needed to develop an efficient and reasonable schedule," they advise approaching scheduling as a means to an end: "A good schedule will deploy employees in an efficient way to meet coverage needs and will enhance employee morale, job satisfaction, and job performance."[2]

The following sections on creating a schedule, using different work schedules, and evaluating alternative work schedules are reprinted (with minor modifications) from *Staffing Analysis Workbook for Jails* (2d edition), pages 17–18, with permission of the authors and publisher.

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[1] Gail L. Elias and John Milosovich, Allocation and deployment of personnel. NIC Prisons Special Seminar, Lafayette, LA, 1999.

[2] Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d edition (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

Creating a Schedule

Scheduling requires decisions about when individual staff will work. Staff scheduling usually follows two basic cycles: 7 days (standard approach, with three 8-hour shifts per day) and 6 days (4 days on, 2 days off). In *Planning and Evaluating Jail and Prison Staffing,* F. Warren Benton describes five additional approaches:[3]

- **Four days, 10-hour shifts (4/10):** Applicable when the activity to be supervised spans more than a standard 8-hour shift.

- **Flextime:** Applicable when completing the work does not require set hours of a shift and advantageous to the facility when several employees' hours can be arranged so that more workers are present during times of peak demand.

- **Shift assignment variation:** Applicable when it is desirable to assign particular employees to work special shifts or hours or to move a facility function to a different shift more suitable for the work.

- **Part-time employment:** Applicable when a staff person is needed only for peak hours of a shift and advantageous to the facility, which can avoid the additional costs associated with full-time staff

- **Split shifts:** Applicable when breaking 8 work hours into separate segments that allow employees to be present during times of peak demand.

Many corrections facilities use one or more of these approaches with success. The 4/10 pattern may work for an officer assigned to supervise an 8-hour inmate work crew; a 10-hour shift allows time to set up and wrap up each day. Flextime does not work well for posts that require continuity, such as a control center, but may prove productive for certain positions with varying hours, such as counselors and assistant administrators.

Many jurisdictions have adopted two 12-hour shifts with varying degrees of success and satisfaction. Although it may initially appear that fewer staff are needed to provide coverage, this is not true. Whether deploying staff for 8- or 12-hour shifts, the same number of staff hours is needed for complete coverage. A 12-hour shift configuration may seem less demanding because staff are scheduled for fewer shifts, but the overall math—and corresponding costs—will not change.

Some jurisdictions moved to 12-hour shifts in response to chronic problems with scheduling staff for 8-hour shifts. Shortages prompted mandatory assignment of staff to extra shifts, often resulting in a 16-hour workday when a staff member was required to work two consecutive shifts. Staff often support 12-hour shifts because they eliminate the option of working two consecutive shifts. When considering 12-hour shifts, administrators must weigh all of the issues and should involve staff in the decisionmaking process.

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[3] F. Warren Benton, *Planning and Evaluating Jail and Prison Staffing* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1981).

Shift patterns have become more important in light of the U.S. Supreme Court decision in *Garcia* v. *San Antonio Metropolitan Transit Authority* (105 S. Ct. 1005 (1985)). In this decision, a divided court overturned an earlier ruling in *National League of Cities* v. *Usery* (426 U.S. 833 (1976)), which exempted most traditional local government activities from the requirements of the Fair Labor Standards Act. The immediate result for many corrections facilities was the restructuring of schedules to avoid paying mandatory overtime. In November 1985, Congress passed Public Law 99–150, which eased the impact of *Garcia,* allowing compensatory time to be awarded as an option but requiring it to be given at the rate of 1.5 hours per 1 hour worked.

Many corrections facilities have explored shift assignment variations and have found that rotating assignments too frequently (more often than every 2 or 3 months) is not successful because staff have difficulty adapting to new hours. They have also found that flexibility in assigning shifts offers a good management tool.

Many corrections facilities hire part-time employees. Part-time staff can be effective in the right situation, but they are often used inappropriately to reduce costs (because they usually receive a lower base wage and often do not receive benefits). As a rule, using part-time staff for routine shift assignment should be avoided. Part-time staff *can* appropriately be used to fill in for regular staff when full-time staff are not available or to meet needs that do not rise to a full shift level.

Shift pattern variations are virtually limitless. One source of many examples is *Manager's Guide to Alternative Work Schedules,* 2d edition, by W.L. Booth.[4]

Using Different Work Schedules

Changing work schedules can be emotional and initially difficult but may result in certain benefits:

- Improved staff morale as job satisfaction increases.

- Less turnover, less sick time, and improved quality and quantity of work.

- Financial savings due to the efficient use of staff.

Exhibit 12, a table drawn from *Manager's Guide to Alternative Work Schedules,* summarizes the descriptive statistics for 21 different alternative schedules and allows comparison of the features of each schedule. The table depicts work schedules that range from 8- to 12-hour days. The table does not include such scheduling approaches as split shifts and flextime because they do not lend themselves to this type of analysis.

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[4] *Manager's Guide to Alternative Work Schedules,* 2d edition (1989) by W.L. Booth is available on loan from the NIC Information Center, *www.nicic.gov,* or may be purchased from the publisher, the Institute of Police Technology and Management, *www.iptm.org.*

Exhibit 12. Descriptive Statistics for Alternative Work Schedules

Shift characteristic	Shift													
	8-hour workday					**10-hour workday**					**12-hour workday**			
	5-2	5-2 variable	3-2 / 7-2 / 5-2	6-2	6-2 / 6-3	7-2 / 7-3	4-3 / 3-4	4-2 / 4-3	5-3 / 5-4	6-4	3-3	4-4	5-5	7-7
Consecutive time required														
Hours per day	8	8	8	8	8	10	10	10	10	10	12	12	12	12
Days per week	5	5	3, 7, 5	6	6	7	4	4	5	6	3	4	5	7
Cycle of workdays and off days														
First shift	5-2	5-2	3-2	6-2	6-2	7-2	10	4-2	5-3	6-4	3-3	4-4	5-5	7-7
Second shift	5-2	5-2	7-2	6-2	6-2	7-2	4-3	4-3	5-3	6-4	3-3	4-4	5-5	7-7
Third shift	5-2	5-2	5-2	6-2	6-3	7-3	4-3	4-3	5-4	6-4	None	None	None	None
Work cycle schedule														
Days per cycle	21	21	21	24	24	28	21	20	25	30	12	16	20	28
Cycles per year	17.33	17.33	17.33	15.17	15.56	13.00	17.33	18.20	14.56	12.13	30.33	22.75	18.2	13.00
Number of workdays														
Per shift	5	5	3, 7, 5	6	6	7	4	4	5	6	3	4	5	7
Per cycle	15	15	15	18	18	21	12	12	15	18	6	8	10	14
Annually	260	260	260	273	262	273	208	218	218	218	182	182	182	182
Number of days off														
Per shift	2	2	2	2	2 or 3	2 or 3	3	2 or 3	3 or 4	4	3	4	5	7
Per cycle	6	6	6	6	7	7	9	8	10	12	6	8	10	12
Annually	104	104	104	91	103	91	156	146	146	146	182	182	182	182
Weekends off annually														
Full	52	0-26	34-0	6	8	14	52	10	16	14	16	18	20	26
Partial	0	0-26	34-0	14	14	0	0	18	12	10	18	12	10	0
Number of other days off														
Holidays	9	9	9	9	9	9	7.2	7.2	7.2	7.2	6	6	6	6
Vacation	12	12	12	12	12	12	9.6	9.6	9.6	9.6	8	8	8	8
Compensatory	0	0	0	13	2	13	0	10	10	10	9	9	9	9
Compensatory computation														
Workdays per year X	260	260	260	273	262	273	208	218	218	218	182	182	182	182
Hours per day =	8	8	8	8	8	10	10	10	10	10	12	12	12	12
Total hours per year	2,080	2,080	2,080	2,184	2,096	2,730	2,080	2,180	2,180	2,180	2,184	2,184	2,184	2,184

Definition of terms: *Compensatory computation* is time earned (as enhanced pay or as time off) for work that exceeds the normal workweek. *Cycle* is the total calendar days necessary for one staff member to rotate through three shifts.

Note: Holidays are based on the equivalent of nine 8-hour days per year. Vacation days are based on the equivalent of twelve 8-hour days per year.

Source: W.L. Booth, *Manager's Guide to Alternative Work Schedules,* 2d edition (Jacksonville, FL: University of North Florida, Institute of Police Technology and Management, 1989).

As discussed in chapter 8 and shown in exhibits 5 and 6 (pages 44 and 47), shift relief factors vary according to work schedule because the number of hours or days worked per year varies according to the schedule. Exhibit 12 shows that a 5/2 schedule has 260 work days per year, compared with 273 work days per year for the 6/2 schedule, so staff working a 5/2 schedule work 13 fewer days per year. The fewer work days per year, the higher the shift relief factor will be, because the additional days off will have to be covered.

The 12-hour work schedule also provides more days off for employees and eases scheduling issues, but this schedule is not less expensive for the agency either. Although the state or county balances out the time worked in a year, it is important to recognize what these creative or innovative schedules do to coverage levels. Most nontraditional schedules are more convenient or advantageous to the employee but are never less expensive for the jurisdiction because of the higher relief factors they require.

Schedule Highlights

8-Hour Schedule

- A 5/2 schedule (5 days on, 2 days off) has 260 workdays annually, compared with 273 workdays for a 6/2 schedule.

- A 6/2 schedule only has 91 annual days off compared with 104 days for the 5/2 schedule. The difference is usually compensated in the form of 13 days of compensatory time.

- A 5/2 schedule results in 2,080 work hours per year, while a 6/2 schedule has 2,184.

10-Hour Schedule

- A 7/2 and 7/3 schedule has 273 workdays annually, whereas a 4/3 and 3/4 schedule has only 208.

- Most other 10-hour schedules average about 218 workdays per year.

- A 7/2 and 7/3 schedule results in 2,730 work hours per year, while a 4/3 and 3/4 schedule has 2,080 work hours annually.

12-Hour Schedule

- All 12-hour schedules shown in exhibit 12 have 182 annual workdays and average 2,184 work hours annually.

- The only significant difference among the various 12-hour schedules is the number of times an employee cycles through all shifts annually. The number of annual cycles ranges from 13 to 30.33, depending on the schedule.

Evaluating Alternative Work Schedules

When considering alternative work schedules, the factors listed below should be weighed. Benefits and costs are often traded off as decisions are made.

■ **Hours of operation and timeframes.** While many functions in corrections facilities operate 24 hours per day, others may have substantially shorter hours (e.g., visiting areas, public reception). Examine each function of the corrections facility to find out if different work schedules would be effective.

■ **Days operated each week.** Many corrections facility operations continue 7 days per week, but others may vary. For instance, a corrections facility may operate an industry or work program that closes on weekends. Scheduling staff for these functions might require alternative approaches.

■ **Objectives of the organization.** The goals and objectives of the corrections facility may suggest appropriate scheduling. If the corrections facility places a high priority on inmate visiting, visiting hours might be scheduled at the convenience of visitors rather than staff. As a result, work schedules might change.

■ **Levels of activity.** Different components of the corrections facility might require more intense staffing. For example, maximum-security inmates are more difficult to supervise during outdoor recreation, suggesting the need for additional staff. A creative staffing plan might provide more staff for that function through overlapping shifts.

■ **Employee contracts and labor laws.** Any potential change in work schedules must be evaluated in light of existing contracts and laws. Involving labor representatives and legal counsel early in the process is advisable.

■ **Staff training.** If it is difficult to provide inservice training for staff, alternative schedules (such as overlapping shifts) may create new opportunities for this key activity.

■ **Fatigue and productivity.** Research indicates that longer workdays decrease productivity but that the correspondingly shorter workweeks may offset fatigue. Alternative work schedules must be carefully weighed to ensure that staff are not overtired and less able to perform critical duties.

■ **Scheduling for different positions.** Some new jobs created in the corrections facility may be amenable to, or even require, alternative scheduling.

The decision to implement alternative work schedules will ultimately hinge on the assessment of their feasibility and on whether the changes can be implemented without too much disruption or negative reaction. The rewards for creative use of alternative work schedules are often great enough to overcome most potential logistical problems.

CHAPTER 12
Staffing Calculations

Everyone wants to know the bottom line: How many staff does the plan require and what will it cost annually to keep the posts filled? Just as important, the agency administrator will want to know how many staff and which ranks are assigned to different types of posts.

Calculating Costs

Form F, "Total Staff Required and Total Cost by Security Rank," provides a format for calculating staffing costs. A completed example of form F is shown in exhibit 13. A blank copy of the form is available in appendix B.

The data recorded in part 2, "Recommended Post Plan," of form D, "Post Evaluation and Planning Instrument" are used to complete form F and to perform other staffing calculations. To complete form F:

1. In column A, list each rank shown in column 19 of form D.

2. For each rank, add the number of full-time-equivalent (FTE) staff required. Copy the total FTEs for each rank into the appropriate row in column B. (The data shown in exhibit 13 are taken from column 37 of the example of form D shown in exhibit 8, page 55.)

3. In column C, enter the average salary plus benefits for each rank during the most recent fiscal year. Obtain this information from the personnel office. (Normally, the average is calculated by dividing the total annual salary and fringe benefit expenditure for each security rank by the average number of filled positions during the same period.)

4. For each rank listed in column A, multiply the average salary plus benefits (column C) by the total number of FTE positions (column B) and enter the result in column D.

5. Add the amounts in column D to obtain the total cost and enter that dollar amount in the total row. In the example in exhibit 13, the total annual cost for salaries and fringe benefits is $8,039,850 for 184 positions.

Having calculated the total staff required to provide coverage of the facility post plan (or the agency post plans) and the total cost of the recommended post plan,

Exhibit 13. **Example of Form F: Total Staff Required and Total Cost by Security Rank**

A	B	C	D
Security Rank	Total FTE Staff Needed*	Average Salary Plus Benefits ($)	Total Cost by Classification ($)†
Major	1	68,250	68,250
Captain	3	60,450	181,350
Lieutenant	8	55,250	442,000
Sergeant	27	48,750	1,316,250
Correctional Officer	145	41,600	6,032,000
Total	184		8,039,850

FTE = full-time equivalent
* Derived from form D, column 37.
† Column C multiplied by column B.
Note: FTE numbers taken from example of form D shown in exhibit 8, page 55. Numbers have been rounded.

the staffing analyst is now prepared to assist the agency in presenting any requests for funding to jurisdictional budget authorities.

Conducting Comparative Analyses

Tip: *Using a computer spreadsheet program, such as Microsoft® Excel, to enter your facility's post data into form D can make it easier to sort the data by priority and function. Excel versions of all blank forms in appendix B are available for downloading from the NIC website,* www.nicic.gov.

There may be value in grouping and analyzing posts and their costs by function or priority as well as by rank. Consider analyzing the information according to various factors and conducting comparative analyses using data from the current post plan versus the recommended post plan. Exhibit 13 shows how many FTEs are required when all posts are filled and the costs associated with the full staffing complement. It is also important to determine the number of FTEs and costs associated with collapsing all important posts and with collapsing all important and essential posts. The number of FTEs and costs for each staffing complement can be calculated by sorting the original post listing (form D, part 2, column 19) by the priority for filling each post (form D, part 2, column 23). These calculations will be important when you are:

■ Preparing budget requests to fund the recommended post plan.

■ Defending the request for personnel with the governing authority.

■ Identifying posts to eliminate in times of cost cutting or staff shortages.

■ Identifying potential problems related to staffing and costs.

■ Prioritizing use of overtime.

■ Determining the need for part-time staff to fill areas of need.

Lessons for Managers

Staffing costs represent such a large percentage of the overall operating costs of an agency that knowing them is crucial not only to accurate budgeting but also to good management. The staffing cost figure tells the manager how well the facility's post plans have been honed and how much the facility has improved in reducing factors that drive the need for shift relief (e.g., absence rates).

Comparisons with prior costs start the learning exercise. If the staffing cost of the new post plan is greater than the cost of the current post plan, what are the reasons? Compare the recommended post plan with the current post plan, as follows:

1. For each job classification, compare:

   ■ The per-staff figure for each cost calculation.

   ■ The shift relief factor.

   ■ Total FTEs.

2. Calculate the differences.

3. Look at the underlying data for each of the factors:

   ■ Have either the salary or the benefits increased in any of the job classifications?

   ■ Has the tenure of the staff in any of the classifications increased or decreased?

   ■ Have absences in any of the categories increased? If so, is there a management-related reason?

   ■ Has the number of posts increased? Have facilities been added? Has the type of facility supervision changed (e.g., to unit management or from direct to indirect supervision)?

   ■ Are there management decisions that might reduce expenditures?

Tip: When the cost of each element of a post plan becomes readily apparent, agency administrators frequently seek ways to improve specific operations while becoming more cost efficient in the process. This exercise should be ongoing rather than one that is entertained only when costs are questioned.

CHAPTER 13
Developing a *Staffing Report*

The work of the staffing analysis culminates in a report. This chapter is designed to help the analyst bring together the results of the analysis into a document that can be used to help others make decisions and take action accordingly. Writing an effective report requires a clear understanding of the mission of the staffing analysis—the reason the report is being written—and a strategy for drafting a report that responds to that mission. This chapter reviews the two primary types of staffing analyses and covers strategies for successfully targeting the report's intended audience, demonstrating the report's credibility, choosing the correct points to be made, and presenting the appropriate information in a logical and effective manner.

Awareness of Mission

The content of the staffing analysis report will be determined by the reason for conducting the analysis:

- **Routine.** These analyses are conducted in the normal course of business, and the resulting reports are used as management and planning tools to support agency actions, including the following:
  - Agencywide updating of post plans to be used for regular facility operations and activities.
  - Budget requests to fund additional staff positions.
  - Recommendations for operational improvements.
  - Planning for new facilities.
  - Management responses to changes in facility missions; inmate numbers, types, and classifications; and so forth.

- **Agenda driven.** Staffing analyses done in response to exigent circumstances or external demand are often conducted by consultants from outside the agency. Following are several reasons for conducting agenda-driven analyses:
  - Governor's budget office or legislative agenda to enact large budget cuts.
  - Court order to find out if staffing in agency facilities is sufficient to protect inmates from harm (e.g., in the course of a conditions-of-confinement lawsuit).

Tip: If a staffing analysis is being conducted by external consultants for purposes of external scrutiny that is likely to be critical of the agency, the agency may want to consider conducting a parallel study so that it can make an informed case in response to the external report.

Tip: *Agency staff writing a staffing analysis report in response to external scrutiny should take care to avoid using defensive language (e.g., "these cuts may result in a 50-percent increase in assaults over the next year," or "the assault data for the posts under question prove that the allegations are false"). The data should speak for themselves.*

Tip: *Persons in executive positions normally have many documents to review and normally search a document quickly for the "bottom line." It is important to anticipate the needs of this audience by presenting a synopsis of the findings and recommendations of the study at the beginning of the report. An* executive summary *that summarizes each issue and points to the more elaborate explanation in particular chapters or pages is one way to communicate your message effectively.*

- Union accusations that insufficient staffing or inadequate deployment of staff jeopardizes the safety of correctional officers.
- A critical incident that brings into question strategic locations of posts.

When a staffing analysis is conducted for management and planning purposes, the report should enumerate the security staff required for the agency to meet changing security needs efficiently and economically. It may also answer specific questions from the agency administrator pertaining to current agency and/or facility management issues (e.g., "To what extent should prototypical housing units be staffed uniformly, and what is the leanest staffing for each prototype?").

When a staffing analysis is done in response to an external agenda or demand, the report should directly address the issue(s) in question rather than parse through more general management data. In investigative cases, the entity ordering the investigation will often hire a consultant to do the work. In budget-cutting cases, the governing or legislative authority may conduct the analysis, although the agency may ask to conduct its own study so that it, not others, can choose where the cuts are made.

If at all possible, the agency should conduct or assist in conducting the analysis. It is in the agency's best interest to be aware of the findings and to take remedial action, if necessary, before being directed to do so by others.

Mindfulness of Audience

The staffing analysis report is directed to the agency administrator, others in top management, and the facility administrators. Because the administrator is likely to submit the report, in whole or in part, to funding authorities (e.g., Governor's budget office, budget and finance committees, judicial committees), the report should consider their interests and concerns as well. If the staffing analysis is intended to answer specific questions, those answers should be highlighted and well documented.

A report on an agenda-driven staffing analysis should specifically address the questions and concerns of the outside entity driving the analysis (e.g., court, union, state auditor's office). If the analysis was for the intent of budget cutting, for example, the report should zoom in on cost savings, supported by valid and verifiable numbers. Resist providing routine staffing analysis data when writing to a panel investigating ill-conceived staffing that may have allowed for undue risk to officers; instead, provide information that answers the panel's specific questions.

Demonstration of Credibility

The report's recommendations will more likely be accepted if both the author and the methodology employed are credible.

Qualifications of the Author and Analysts

The author of a routine staffing analysis report that will be used as a management tool is likely to be the agency's staffing analyst in charge of the analysis. This analyst is likely to be known to the audience, so reciting qualifications is unnecessary. If several analysts were involved, their qualifications should be cited.

An agency analyst writing an agenda-driven report should provide his/her qualifications. A consultant hired by the agency to conduct a staffing analysis should also give a complete accounting of his/her credentials.

Credibility of the Methodology

Agency procedures for carrying out a management staffing analysis are probably well known to the administrators receiving the analysis report. It does not hurt, however, to review the procedures used. If the document is to go to governing committee members, delineating the standard staffing analysis procedures will assure them that the analysis is based on sound methodology.

Whether the analysis was conducted for management purposes or for external reasons, the reader will want to know why the full-time-equivalent (FTE) numbers provided are trustworthy. Citing the dates of the analysis lets the reader know how current and diligent the work was, as does elaborating on the procedures and checklists that were used to ensure accurate results. Persuasive information demonstrating due diligence might include the following:

- Details of the research conducted so that the reader can ascertain the days of availability for all job ranks and for every facility. (Consider listing hours rather than days so that the availability figures are more specific.)

- Specific criteria used in evaluating posts.

- Particular focus on housing unit posts, which are likely to be the most numerous type of posts in a facility (see chapter 10 for guidelines on evaluating housing units).

- Scrutiny of posts that relate to housing special populations (see chapters 15 and 16).

- Thorough justification for each post, not only on its own merit, but also in relation to adjacent posts.

Points To Be Made

Start with the mission and ask what points will serve it. The points in a report of an analysis for management purposes are normally dictated by procedure and stated objectives and, in general, should speak to findings that offer opportunities for efficiency and economy.

Tip: If the staffing analysis was conducted in response to exigent circumstances or external inquiry, it will be particularly important for the report's readers to understand its content. Take into account the intended audience's familiarity with staffing terms as well as their intentions for using the report. Write clearly and avoid jargon.

These two expectations of staffing analyses are almost universal in corrections. Even if the bottom-line figures show decreases in the number of positions and reductions in personal services costs, the report will best serve its purpose if the recommended changes can be summarized to highlight the success of the work. Examples of points to make follow:

- **The number of positions has remained stable or decreased, either in fact or in proportion to any addition of facilities or increase in population.** If fewer positions are required this year than the year before, draw comparisons with the number of staff and the personal services budget, factoring in changes and inflation.

- **The number of posts ensures staff safety.** Demonstrate how the variation in the number of posts in specific areas affects staff safety by citing how the number of injuries to or assaults on staff fluctuates with the degree to which security staff are isolated from each other and/or are in greater direct contact with the inmates.

- **Applying physical modifications or technological applications will improve efficiency and reduce personal services expenditures.** Cite the recommendations related to physical improvements and use of technology. Compare the capital costs for these recommended improvements with the projected long-range operational cost savings.

- **Attention has been given to strategies for reducing unauthorized leave and unexcused absences from work; these strategies will reduce the need for relief staff and thereby reduce the number of positions, saving money.** Cite the types of leave and absences that have increased or decreased since the last analysis; explain the reasons, if known; and list recommendations for improvement.

- **Improvements in operations will be realized from the analysis.** Isolate efficiency-related recommendations. Relate them to their effects on costs.

The points in a report on an agenda-driven analysis should focus on findings specific to the agenda. Examples include the following:

- **Posts are located strategically to reduce risk of harm to staff.** Briefly explain how an analyst determines where security posts are located, their proximity to each other in terms of physical distance and elapsed time, and their visibility.

- **The physical distance between posts permits human backup in less than 1 minute.** Cite the distances between posts and describe the communications devices that expedite backup.

- **The incidents referenced in the inquiry are not statistically related to the number of posts where the incidents occurred.** Present the type, frequency, and results of incidents by post for a 2-year period.

Logical and Effective Presentation

The organization of the report, like its content, depends on whether the staffing analysis was routine or agenda driven.

Report for a Routine Staffing Analysis

A routine agency report might be organized as follows:

■ Executive summary discussing agencywide issues, findings, aggregate statistics, and recommendations.

■ Reason for the analysis.

■ Description of how the analysis was conducted.

■ Agency factors/issues that influenced the analysis.

■ Discussion of agencywide post study results accompanied by tables and/or graphs summarizing the findings (comparative analyses optional).

■ Discussion of agencywide shift relief factors (SRFs) and recommendations, accompanied by tables and/or graphs summarizing the findings (comparative analyses optional).

■ Specific agencywide recommendations and ideas for implementation.

■ Facility-by-facility findings:

• Summary of salient and relevant characteristics such as mission, operations, programs, services, location and state of physical plant, number and classification of inmates, and schedule of activities.

• Discussion of SRFs.

• Summary of post planning results that includes a chart showing the number of FTEs needed for coverage and discusses the nature of substantive changes in the post plan since the last analysis.

• Discussion of the total FTE requirements and costs of coverage with relief, by priority for filling the post.

• Specific recommendations.

• Implementation plans and issues.

■ Appendixes, including all post plans, SRFs and calculations, underlying documentation, completed posting instruments, and justification for recommended post modifications.

Report for an Agenda-Driven Staffing Analysis

An agenda-driven report should be designed to address the issues under scrutiny and answer the specific questions that have been asked. Consider the following example:

An officer was ambushed and killed with a homemade knife on the yard of one of the agency's medium security prisons. The incident attracted much media attention. The bargaining unit went to court claiming that the agency did not have enough officers in the housing units, on the prison yards during recreation, or in the dining hall during meals. In addition, some posts lacked adequate backup in case of emergency, and alarm equipment was not issued as required for some posts. The court ordered the agency to conduct a staffing analysis at the prison to ascertain what staffing changes might be made to make the prison safer.

The staffing analysis in this example might pose the following questions:

■ Is the number of posts in each area of the facility on each shift sufficient?

■ Is the number of staff available sufficient to fill all required posts?

■ Are staff properly oriented and trained in the duties to be performed at each post?

■ Were all the authorized posts filled at the time the incident occurred?

■ Were officers issued all of the equipment they were authorized to have?

■ Were staff assigned to certain posts designated as first responders, and were they in a position to respond immediately?

A logical and effectively presented report would include the following elements:

■ Executive summary discussing facilitywide issues, findings, and recommendations that address the specific questions and issues that prompted the agency to conduct the analysis.

■ Statement of the reason for the analysis, specifying who asked what to be done by when.

■ Detailed description of how the analysis was conducted, what documents were requested and received, and how agency staff were able to conduct the study objectively.

■ Description of the facility that clearly explains the context in which the incident occurred.

■ Discussion of the facilitywide post plan accompanied by tables and/or graphs summarizing the findings.

■ Discussion of the facility's SRFs accompanied by tables and/or graphs summarizing the findings (comparative analyses optional).

■ Specific analysis of the staffing issues under study, drawing conclusions and making recommendations.

■ Presentation of results:

  • Summary of salient and relevant characteristics (e.g., mission, operations, services, programs, location of physical plant, number and classification of inmates, schedule of activities).

  • Summary of the results of the post analysis, including a chart illustrating the number of staff required for coverage and any recommended changes in the post plan since the incident.

  • Specific recommendations.

  • Implementation plans and issues.

■ Appendixes (e.g., list of all documents requested, list of all documents received and reviewed, all post plans and their SRFs and calculations, underlying documentation, completed posting instrument, and justification for recommended post modifications).

Tip: *Graphic representations, slides, poster boards, and other visual enhancements can be effective additions to a staffing analysis report, depending on the circumstances of the analysis and the audience.*

CHAPTER 14

Implementing Recommendations and Monitoring Results

The analysis is of little consequence unless the agency administrator thoroughly studies the recommendations, puts into effect those determined to be of value, and then monitors the results. The entire implementation and monitoring process should be viewed as an ongoing initiative to better deploy staff—the agency's most valuable resource.

Implementation

Change, good or bad, tends to be painful before it becomes satisfying. Whether the implementation of staffing analysis recommendations is simple or complicated, change in an organization requires careful and methodical management.

The recommendations derived from a staffing analysis may not have a broad impact on the agency. Only one facility may be affected in a minor way, or, if an agencywide staffing practice must undergo change, it may not require complicated plans, tasks, and timelines. When staffing changes in one area affect other areas, however, and/or if the change is to be implemented across all facilities, detailed implementation planning becomes necessary. Managers must consider the interactive effects of change. Staff must analyze and itemize the effects of each change on the agency as a whole and on the facilities affected and plan not only for the prescribed staffing change, but also for collateral change.

For example, if the staffing analyst recommends that posts in a functional unit, such as transportation, go to 10-hour posts and a different staff scheduling pattern (e.g., from 5 days per week to 4 days per week), other operations, units, and even institutions might be affected (e.g., rear gate operations, inmate receiving and discharge), necessitating detailed implementation planning. On the other hand, if the analyst recommends that a post be removed because an inmate activity is being discontinued, only the officers normally assigned to the activity area may be affected (e.g., an evening school program is discontinued and the two officer posts in the school area are no longer needed 5 nights per week).

In approaching the implementation of recommendations, managers must first decide which recommendations will be followed and which will be tabled. Sorting recommendations into agency projects and facility projects is a sound strategy. The projects must then be prioritized and sequenced and assigned to responsible

Tip: *Implementing changes initially in one facility is wise when multiple facilities are affected. Issues that arise at the pilot site can be resolved and the implementation process modified before change is introduced in other facilities. Wholesale implementation is almost never the best option.*

parties. Provisions must be made for expected and unexpected consequences. Everyone involved directly and indirectly should be notified of and prepared for the changes and should understand how the changes affect their lives.

Implementation should be completed within a reasonable timeframe if the changes are to be successful. During implementation, it is important to watch for indications that the changes are not proceeding according to plan and to be ready to revise the implementation plan when necessary.

Monitoring

Monitoring can take two forms: tracking outcomes and ensuring that the plan is being implemented in accordance with its requirements. Both are important.

Managers should decide on the indicators to be used to measure success. Indicators of success should be quantifiable and related to the recommendations. Using the conditions at the time of the analysis as a baseline, the measures should be repeated over time to show the improvement in or aggravation of conditions. For example, if an agency decides to implement a recommendation to reduce assaults in housing units by adding a post in each unit, it might compare the number of assaults that occurred in the 6 months following the addition of the new post with the number that occurred during the 6 months preceding implementation.

In addition to monitoring results derived from implementing the new post plan, managers will want to stay on top of how well the post plan is being followed. Is the facility's daily roster consistent with the approved post plan? Are authorized posts being filled in keeping with that plan? Have posts been created or removed without authorization from the approving authority?

A periodic staffing analysis is the obvious method of finding out how well agency staffing is performing. A low-tech method of evaluation is to survey staff affected by changes and other staff in a position to pass judgment on the effects of the change. An automated data management system makes possible measurement of indirect indicators of outcomes, for example, whether the affected staff's use of unscheduled or unauthorized leave has decreased or how long it takes to fill vacancies.

As discussed in chapter 3, automation of staff deployment records facilitates monitoring and tracking of post and staffing practices. Automation enables agencies to efficiently record large amounts of data; update master and daily rosters and post plans; perform comparative analyses; and generate staffing management reports.

Use of an automated data system to track post and staffing practices can eliminate the need to conduct routine periodic post studies. The goal should be ongoing staffing analysis through automation.
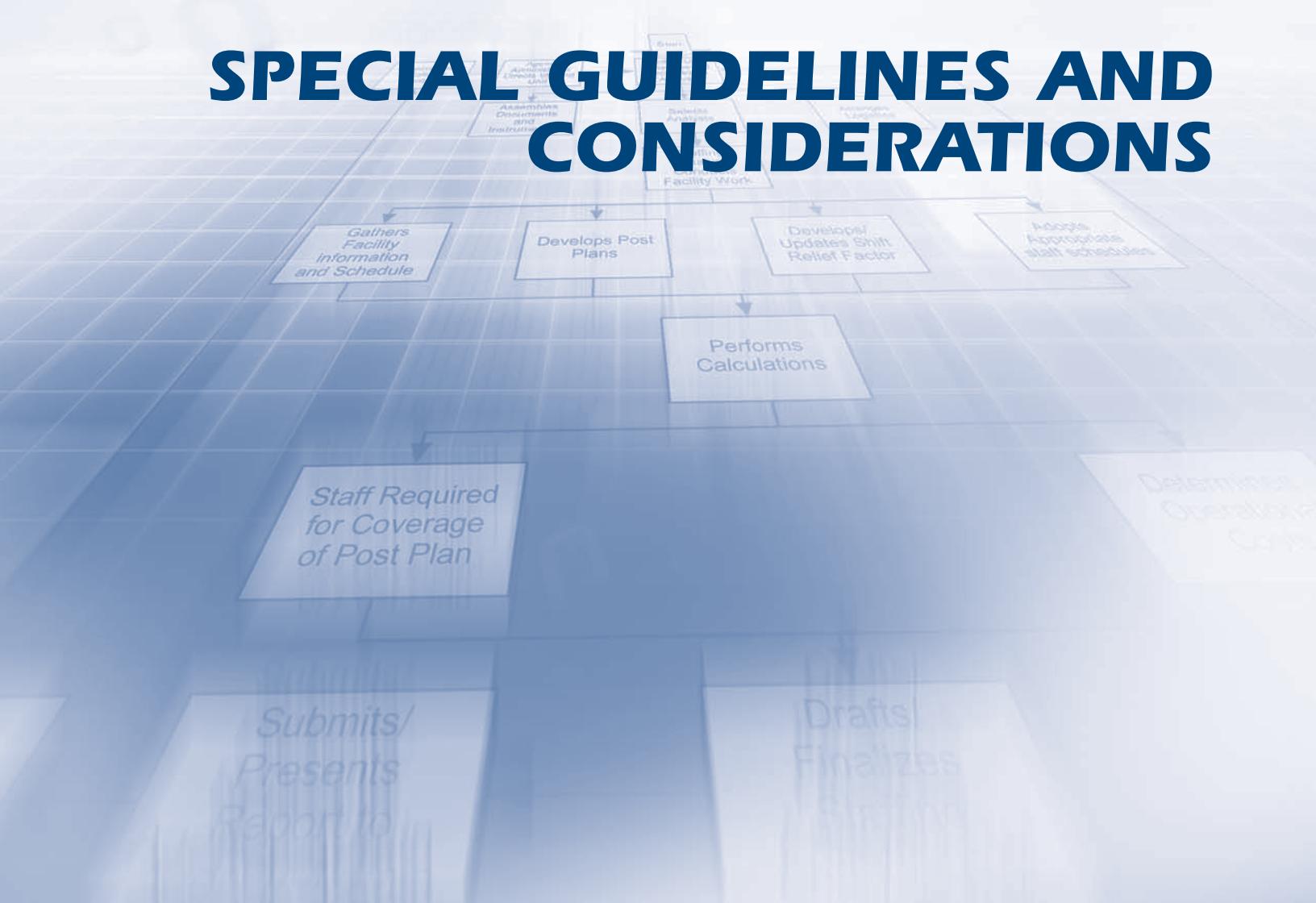
The End and the Beginning

As with other aspects of correctional work, nothing stays the same. A facility's mission or inmate population levels can change. Financial resources can be diverted to provide other government services. In anticipation of such events, it is best to regularly reevaluate staffing needs and requirements and update the post plan. One approach is to build in reevaluation as part of the agency's annual or biennial budget cycle. In some instances, this reevaluation will mean a full-scale analysis; in others, a less intense reevaluation may be all that is needed.

In summary, the point of analyzing existing staffing practices and recommending changes where needed is improvement. Managers should see positive staffing change not as a static accomplishment but as an ongoing work in progress. At each regular staffing analysis, the analyst should learn from what has occurred during the interval between analyses and look for more ways to improve the efficiency of the staffing.

SPECIAL GUIDELINES AND CONSIDERATIONS

Part 3. Special Guidelines and Considerations

Chapter 15. Staffing Considerations for Women's Correctional Facilities

Chapter 16: Staffing Considerations for Medical and Mental Health Units

CHAPTER 15

Staffing Considerations for Women's Correctional Facilities

The differences in the risks and needs posed by male and female inmates have been well documented.[1] Only recently, however, have their implications for security staffing decisions been explored.[2] In response to concerns raised by the field, the researchers explored how, if at all, the differences between male and female inmates influence the number and type of security posts in correctional facilities for women. The researchers also explored the troubling issue of cross-gender supervision to help correctional administrators set parameters for male staff members who supervise female inmates.

This chapter describes current security staffing practices in correctional facilities for women, clarifies unique needs of female inmates that may affect security staffing practices, and discusses considerations regarding placing male staff in correctional facilities for women. The information is drawn primarily from three sources:

- A review of the correctional literature about the supervision of female offenders.

- "Staffing for Women's Correctional Institutions," a national inventory of state and federal correctional agencies' current experiences and practices for security staffing in women's correctional facilities.

- A focus group at which wardens of women's facilities with exemplary and/or innovative staffing practices discussed security staffing requirements for female inmates and identified parameters for cross-gender staffing.

Current Security Staffing Practices in Correctional Facilities for Women

In early 2004, 36 jurisdictions responded to a national inventory on "Staffing for Women's Correctional Institutions" (see appendix A). Their responses revealed that, for the most part, their approaches did not differ from the approaches taken in male prisons. Of the agencies that responded to the inventory:[3]

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[1] Barbara Bloom, Barbara Owen, and Stephanie Covington, *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

[2] B.G. Harding, S*taffing Analysis for Women's Prisons and Special Prison Populations,* Special Issues in Corrections (Longmont, CO: U.S. Department of Justice, National Institute of Corrections Information Center, 2002).

[3] See appendix A, table 17.

- 94.3 percent reported that no position or person is tasked to conduct staffing processes specifically for women's facilities.

- 83.3 percent reported that they do not use female-specific methods to determine the number of security staff required to support women's institutions.

- 88.2 percent indicated that they do not periodically conduct a specific review of the security post plans for women's institutions apart from the review conducted for male institutions.

- 80 percent reported that they do not use female-specific criteria for establishing, adding, and/or deleting posts in women's institutions and do not have a security position/person who makes decisions to establish, add, and/or delete security posts and positions based on the special needs of female offenders.

The focus group participants reiterated that female-specific considerations for security staffing are not ordained by policy or procedure. The participants indicated that in post plans for women's correctional facilities, given comparable housing designs and comparable populations with respect to custody level, the security staffing patterns are identical to those in male correctional facilities. Several commented that agency administrators responsible for setting security staffing levels would not approve the use of more security staff in women's facilities than in comparable men's facilities.

Three areas emerged as significant considerations in security staffing for women: medical and mental health needs, services/transports related to pregnancy, and family visitations. The researchers' findings on these three considerations are presented in the following sections.

Medical and Mental Health Needs

The inventory respondents, focus group participants, and the literature were in agreement that, with regard to the special needs of female inmates, the need is not necessarily for more security staff but for more medical, mental health, and program staff in the housing units and greater inmate access to the medical and mental health clinics. They admitted that more medical, mental health, and program staff are now assigned to correctional facilities for women but indicated that still more staff are needed.

Exhibit 14 (pages 112–113) reports the inventory responses concerning special medical and mental health needs of women and the impact of these needs on staffing levels in four areas: security, medical health, mental health, and programs. This exhibit also identifies the staffing implications offered by the focus group and found in the literature.

Security staffing. Note that the only special need of female inmates that was seen to affect security staffing levels significantly was "women require more trips to special medical clinics and hospitals than do men" (47 percent agreed). Staffing considerations related to this need stressed the importance of training security

staff concerning female inmates' medical and mental health issues and adding transportation/escort officers for trips to special clinics and hospitals. None of the sources that were explored revealed any other significant differences in security staffing levels in male facilities as compared with female facilities, based on perceived requirements in the medical and mental health area.

Medical and mental health staffing. Mental health staffing levels for female inmates were significantly affected by needs associated with trauma and abuse (83.3 percent) and by an overall need for greater time and attention (72.2 percent). Medical staffing levels for female inmates were affected by their needs for greater staff time and attention (66.7 percent) and more trips to special medical clinics (58.3 percent) and by their higher rates of somatic illness (55.6 percent) and venereal and pelvic disorders (61.1 percent).

Many of the special medical and mental health needs of women affect more than one type of staffing. Notably, needs associated with trauma, abuse, and the overall need for greater staff time and attention were identified as significantly affecting medical, mental health, and program staffing levels.

Focus Group Comments on Medical and Mental Health Issues

The discussions that took place during the focus group meeting gave context and life to the inventory statistics. Some of these compelling comments are presented here and in similar sidebars throughout the chapter. (Emphasis added)

"Utilization of telemedicine can reduce the large amount of transportation for women [for trips to special medical clinics and hospitals]. This *saves on transportation officers.* It may reduce unnecessary hospitalization. This is important for saving on staff."

"The male facilities have a transport pool. *We have to do all of the transportation ourselves.* There must be a female officer, because a prisoner may be going someplace where they have to change clothes."

"A lot of psychosomatic illnesses [among] women inmates who want attention."

"A high percentage of the population is on psychotropic medications. Depression seems to be the greatest reason for the psychotropic medications."

"Starting to observe a lot of gynecological cancer issues. Gynecological disorders take more medical staff time. There are a lot of STDs seen at the reception center."

"Women with substance abuse issues cause higher medical expenses because of what the abuse has done to their bodies."

"Women in general have not had any kind of dental care."

Exhibit 14. Views on the Medical and Mental Health Needs of Female Inmates and the Effect of These Needs on Staffing Levels in Women's Institutions

| Special need of female inmates | Percentage of respondents who agree special need exists | Percentage of respondents who agree special need affects need for more staff in the area specified | | | | Staffing implication |
		Security	Medical	Mental health	Program	
Physically, sexually, and/or emotionally abused women frequently suffer from trauma, depression, anxiety, and other mental health disorders that require special treatment.	100.0	19.4	47.2	83.3	58.3	**Mental health staffing:** Mental health administrators should address this need in their staffing plans. **Training:** Mental health professionals should train security staff regarding the prevalence and symptoms of mental health illnesses associated with abuse and trauma and provide strategies for identifying and properly responding to those illnesses.
Women require special programs that address issues such as parenting, battering and abuse, and legal recourse.	88.9	8.3	8.3	27.8	66.7	**Program staffing:** Program administrators should address this need in their staffing plans.
Most female offenders require more time and attention from security, counseling, medical, and mental health staff than do men.	97.2	22.2	66.7	72.2	50.0	**Mental health staffing:** Mental health administrators should address this need in their staffing plans. **Training:** Train security staff in how to respond appropriately to requests for time and attention, what behaviors should be reported to mental health and medical staff, and when that information should be reported. **Screening:** Identify security staff who fail to demonstrate patience and reassign them to posts that require less intensive, ongoing interactions (e.g., from housing units to the control center).

Program staffing. The needs of female inmates were perceived to have a substantial impact on program staffing levels. The specific needs identified were those associated with trauma and abuse (58.3 percent) and female inmates' overall need for greater staff time and attention (50.0 percent).

Needs of Pregnant Inmates

Specialized medical care and housing accommodations must be offered to pregnant inmates. Particular staffing issues and implications are listed in exhibit 15 (page 114). With regard to pregnant women, again, the only special need seen to significantly

Exhibit 14. Views on the Medical and Mental Health Needs of Female Inmates and the Effect of These Needs on Staffing Levels in Women's Institutions (continued)

Special need of female inmates	Percentage of respondents who agree special need exists	Percentage of respondents who agree special need affects need for more staff in the area specified				Staffing implication
		Security	Medical	Mental health	Program	
Women have higher rates of somatic illnesses than men.	86.1	13.9	55.6	36.1	16.7	**Training:** Medical staff should train security staff about somatic illnesses.
Women have more venereal and pelvic disorders than men.	77.8	2.8	61.1	8.3	8.3	**Training:** Medical staff should train security staff concerning symptoms of female disorders, and security staff should be required to report any signs and symptoms to medical staff.
Women require more use of medications than men.	83.3	5.6	66.7	33.3	8.3	**Schedules/post orders:** If medications are administered in the housing unit by medical staff, observation duty should be factored into the security post workload and schedule.
Women require more trips to special medical clinics and hospitals than do men.	91.7	47.2	58.3	11.1	2.8	**Security staffing:** Additional security/transportation staff may be required for escorting female inmates to the infirmary and/or for transporting them to clinics and hospitals off institutional grounds. These duties should be factored into post plans and/or shift relief factors.
Women's medical issues require medical coverage 24 hours per day.	69.4	22.2	44.4	19.4	5.6	**Medical staffing:** Include 24-hour coverage in staffing plans.

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions. Staffing implications are based on review of the current literature and responses from an NIC-conducted focus group.

affect security staffing levels was transportation to special medical clinics and hospitals (42 percent). The focus group noted the potential need for additional security staff where there is special housing for pregnant inmates who are close to term and new mothers caring for newborns. None of the sources explored revealed any other significant differences in the security staffing levels of general-population male facilities and female facilities. With regard to medical staffing in women's facilities, the focus group identified pregnant women's needs for prenatal care (66.7 percent) and 24-hour nursing services before delivery (55.6 percent) as those that had the most impact on staffing levels.

Exhibit 15. **Views on the Needs of Pregnant Inmates and the Effect of These Needs on Staffing Levels**

Special need of female inmates	Percentage of respondents who agree special need exists	Percentage of respondents who agree special need affects need for more staff in the area specified				Staffing implication
		Security	Medical	Mental health	Program	
Pregnant women require prenatal care.	100	19.4	66.7	22.2	22.2	**Medical staffing:** Staffing plans must accommodate this need.
Pregnant women require different transport procedures from men.	86.1	41.7	25.0	5.6	2.8	**Training:** Train security staff in how to restrain/supervise pregnant inmates without affecting the biological process or violating their privacy.
Pregnant women need special quarters and accommodations during the last trimester of pregnancy.	38.9	22.2	30.6	11.1	8.3	**Training:** Train security staff assigned to units for pregnant inmates to identify maladies and signs of delivery or pregnancy-related problems and how and when to report these events to medical staff. **Security staffing:** If special housing is used, additional security staff will have to be available to escort the women to and from the infirmary and/or hospital.
Some pregnant women require 24-hour nursing services before delivery.	83.3	25.0	55.6	13.9	2.8	**Medical staffing:** Staffing plans must include 24-hour coverage.
New mothers need opportunities to bond with and care for their babies.	55.6	22.2	16.7	5.6	13.9	**Security staffing:** If special housing is used, additional security staff will have to be available to escort the women to and from the infirmary and/or hospital.

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions. Staffing implications are based on review of the current literature and responses from an NIC-conducted focus group.

Focus Group Comments on Needs Related to Pregnant Inmates

"[It is] rare that pregnant inmates are not classified as 'high risk' as a result of drug use, alcohol use, etc. [There are] a lot of low-weight babies and some addicted babies. A lot of women require cesarean section for the birth. Pregnant women are housed together."

"[We use the] same staffing pattern in units for pregnant women [as for women who are not pregnant]. The only difference in our facility would be the staffing issues for when they go to the hospital. Transport staff to take them offsite. [We] have to staff with an armed and unarmed staff 24 hours-a-day when in hospital. Doctors come in the facility to do mammograms."

Exhibit 16. Views on the Family-Related Needs of Female Inmates and the Effect of These Needs on Staffing Levels

Special need of female inmates	Percentage of respondents who agree special need exists	Percentage of respondents who agree special need affects need for more staff in the area specified				Staffing implication
		Security	Medical	Mental health	Program	
Women need to visit with their children more often and/or for longer periods.	80.6	36.1	5.6	19.4	36.1	**Security staffing:** If the visitation schedule is expanded, more security staff will be needed during visitation periods. Depending on the type and configuration of visitation facilities, additional security staff may be required to manage the number of visitors (e.g., to conduct searches, identification checks, bag checks). **Monitoring:** If there is a residential visitation program, the unit will need additional security staff to prevent the introduction of contraband that could compromise the program's safety and security.
Some women want their children to visit and/or live in their housing units.	69.4	25.0	16.7	13.9	22.2	**Security staffing:** Experience varies on this issue. Some say there is less need for staff when mothers have their children with them, and others say they add staff when children are present.
Female offenders require special programs in topics such as parenting, battering and abuse, and legal recourse.	88.9	8.3	8.3	27.8	66.7	**Program staffing:** Program administrators will meet this need in their staffing plans.
Women have needs that require more social services than men (e.g., family contacts, childcare).	97.2	13.9	11.1	22.2	58.3	**Social services staff:** Social service administrators will meet this need in their staffing plans.

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions. Staffing implications are based on review of the current literature and responses from an NIC-conducted focus group.

Family-Related Needs of Female Inmates

Of note in how the family-related needs of female inmates affect staffing is the demand for security staff to supervise expanded services and schedules in the visiting room and the housing units where children visit. Of more significance is the need for program staff to assist with issues such as childcare and family contacts (58.3 percent) and to provide programming on topics such as parenting, battering and abuse, and legal issues. Particular staffing issues and implications are listed in exhibit 16.

> **Focus Group Comments on Family-Related Needs**
>
> "Programs with child visitation mean *more staff*."
>
> "We have a *separate visiting room* for visiting with children. . . .
> We have an officer who comes in and checks."

Summary of Security Staffing Issues in Women's Correctional Facilities

The demand for more security staff to transport women to and from special clinics or hospitals for treatment was a recurrent theme in the findings of the national inventory on staffing for women's correctional institutions. However, medical, mental heath, and program staffing levels were by far seen to be more affected by the special needs of female inmates than were security staffing levels.

Nevertheless, inventory respondents identified a range of differences between the roles/responsibilities of security staff in women's facilities versus men's facilities, some of which might increase the security staff workload in women's facilities (exhibit 17). Topping the list were monitoring female inmates' health/pregnancy and their mental stability (61 percent); listening to their complaints/problems (58 percent); and counseling those who are upset or out of control (53 percent). Traditional "security-related" tasks, such as escorting, searching, and supervising the women, were cited by 44 percent of the inventory respondents as affecting staffing levels in women's institutions. Staffing analysts should be mindful of these workload issues when posting women's facilities.

Findings of the Staffing Inventory: In responding to questions about whether staffing levels are higher when the percentage of female staff outweighs the percentage of male staff and vice versa, only 6 percent of inventory respondents believed that staffing levels are higher when most of the security staff are female; 11.8 percent believed that staffing levels are higher when most of the security staff are male.

Cross-Gender Supervision of Female Inmates

Of significant concern when staffing a women's correctional facility is how to deploy male supervisory staff. Although 59.4 percent of the agencies responding to the inventory have special provisions in their policies for cross-gender staffing and/or posts, less than 20 percent of these require a specific ratio of male officers to women.

If properly addressed, issues involving cross-gender supervision[4] can potentially have an equal or greater impact on staffing decisions for a women's correctional facility than the unique needs of the facility's inmates. The two, however, are interrelated in multiple ways that have serious implications for security staffing. It is interesting, and of concern, that only 59 percent of the responding agencies have special provision regarding cross-gender staffing in their policies.

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[4] Cross-gender supervision is defined here as the supervision of inmates by staff of the opposite gender.

Exhibit 17. Views on Differences Between Security Staff Duties in Women's Facilities and Those in Men's Facilities

The following security staff duties in women's facilities differ from those in men's facilities. Do they add workload?	Percentage of respondents answering "yes"
Report and/or document any unusual/significant change in an inmate's emotional condition.	41.7
Counsel out-of-control inmates for longer periods of time than would be allowed for male inmates.	52.8
Observe pregnant inmates according to medical staff instructions and document their condition as required.	41.7
Spend extra time listening to inmates' problems and complaints.	58.3
Open special grooming facilities and supervise them during more hours of the day than in male institutions.	36.1
Spend more time supervising cleaning and monitoring property than in male institutions.	22.2
Spend more time dressing out* and transporting inmates to appointments.	44.4
Supervise housing units in which children are present.	41.7
Closely monitor mentally ill, chronically ill, and pregnant inmates and document changes in condition as directed.	61.1

*Providing inmates' civilian clothing for trips out of the facility.

Source: National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

Staffing analysts must pay close attention to whether a post should be occupied by female staff only. Administrators of women's facilities should carefully screen all applicants to ensure they are sympathetic or open to the special needs presented by female offenders. All male staff assigned to a women's correctional facility require specific training to ensure knowledge of and sensitivity to the special needs of the female offender, their roles as security staff, and other specific cross-gender supervision issues.

Exhibit 18 (page 118) lists the key cross-gender issues in women's correctional institutions identified by the inventory respondents and outlines the related considerations for security staff.

Summary

Although the number of security staff required to manage a women's correctional facility safely may not differ significantly from that required to manage male correctional facilities, the nuances of staffing for female facilities are considerable. These nuances should influence the staffing analyst when prioritizing, recommending schedules, and identifying any special training, screening, monitoring, rotations, and/or gender requirements for a post.

Exhibit 18. **Views on the Implications of Cross-Gender Supervision for Female Inmates**

Issue	Percentage of respondents who agree	Considerations for security staffing
Women behave differently and are sometimes sexually forward toward male staff.	83.3	**Screening:** Assess the motivations of male staff members seeking supervisory posts in a women's correctional facility. **Training:** Train male staff as to what constitutes appropriate and inappropriate behavior with female inmates.
Most female inmates prefer not to be touched by male staff, particularly not in vulnerable areas. Likewise, they generally do not like to be seen by male staff while in the nude or in other vulnerable situations.	88.9	**Designating gender-specific posts:** Each facility should identify certain posts as gender specific or as posts that male officers cannot occupy alone. These include posts responsible for strip searches and pat-down searches, and housing units' visitation areas. Male staff should never be assigned to supervise bathing or toilet facilities and when transporting female inmates, should always be accompanied by a female officer.
There are topics that many women prefer not to discuss with men.	88.9	**Training:** Train male staff as to the appropriate subject matters to discuss with female inmates. This is particularly important regarding, but not limited to, sex-related topics. Male staff should be trained to refer female inmates to female staff when sensitive issues are broached, even if the inmate introduces the topic. **Monitoring:** Closely monitor the behaviors of male staff supervising female inmates. **Stringent discipline:** Sanction appropriately any staff member found guilty of having inappropriate banter or conversations with female offenders.
Many female offenders have learned to use sex appeal or sexual favors to manipulate their environment.	80.6	**Training:** Train officers to identify and respond to the modes of interaction some female offenders may employ.
Women need and require nonaggressive supervision overall and less aggressive supervision than men.	80.6	**Training:** Provide training on tactics for obtaining and maintaining compliance and appropriate use of force (when, how much, and how) for female inmates. This training should include different use-of-force protocols for female inmates, especially pregnant inmates.
Women are afraid of physical and/or emotional abuse by men.	80.6	**Training:** Provide training in effective, yet nonintimidating supervision, communication strategies, and behaviors.
In some circumstances compliance with equal opportunity regulations requires a certain percentage of male staff to occupy positions in female facilities.*	N/A	**Trading places:** Assign a higher percentage of male officers to perimeter, dining hall, education, and program posts while ensuring adequate coverage by female officers in visiting, housing, and medical areas.
There are incidents when male officers engage in sexual acts with female inmates.*	N/A	**Monitoring:** Ongoing attention must be paid to particular types of inmate complaints (both formal grievances and informal reports), inmate-on-inmate altercations and fights, disciplinary infractions, rates of sick call, signs of abuse, and sexual behavior. **Terminations:** Immediately terminate any officer found guilty of engaging in sexual acts with a female inmate.

*Issue identified by focus group. The percentage of focus group participants who agreed is not available.

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions. Considerations for security staffing based on review of the current literature and responses from an NIC-conducted focus group.

Focus Group Comments on Cross-Gender Supervision

"Most of us use the MMPI [Minnesota Multiphasic Personality Inventory] for offenders [to detect personality disorders], but not for staff. They stay on good behavior during their probationary period. We often find out that their personalities are wrong for the job after they achieve permanent status. Then we have to document infractions to get rid of them and that's the wrong way to go about it."

"The unions do not want personality testing. We should do polygraph testing and psychological testing."

"The idea of the values testing is worth taking a look at. It sounds similar to the BOP [Federal Bureau of Prisons] integrity test."

"We conduct personality testing for potential officers in our women's facility—values testing. It helps us screen out inappropriate candidates."

"There is a 2-hour block that everybody gets on gender responsiveness. There is a 40-hour training for custody staff working at a female prison. The curriculum includes history of the female offender[s]; characteristics; communication techniques; medical, psychological, and social needs; and searching the female offender."

"We're very upfront with the sexual relationship issue—no tolerance."

"We have an internal affairs staff person. Any issues of a sexual nature are turned to him initially. If it looks like a big issue, he calls the legal department and does a special investigation."

"The staff member is immediately suspended until an investigation of the sexual misbehavior has concluded. Probationary employees can be terminated that day."

"We have female officers who get involved with the female inmates. Some of it is because of their sexual identity. Some of it may be because the female officers need to feel needed."

"There are telltale signs of sexual misconduct—officers wanting to work in a place they have never worked, wearing cologne all of a sudden, changing their appearance, not wanting to move an inmate to another location, passing notes, an officer coming into a unit that isn't supposed to be there, phone calls. . . ."

CHAPTER 16

Staffing Considerations for Medical and Mental Health Units

This chapter examines security staffing in medical and mental health correctional facilities and units nationwide from the point of view of medical and mental health administrators. It identifies the issues that may have an impact on how security officials staff these units with security officers, and it describes how medical and mental health administrators collaborate with security officials to address these issues.

To understand the security issues and explore the best ways to deal with them, the researchers:
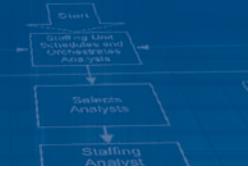
- Reviewed the literature regarding supervision of inmates with medical and mental health conditions within a correctional facility.

- Conducted a national inventory of state and federal correctional agencies' current experiences and practices regarding security staffing for medical and mental health units and facilities.

- Convened a focus group of state correctional administrators whose systems represented exemplary and/or innovative staffing practices in their medical and/or mental health units. A national correctional healthcare consultant also participated. The focus group discussed staffing requirements for chronically ill and/or mentally ill inmates and best practices in staffing mental health and medical units.

The information garnered from the literature review, inventory, and focus group discussions clarified the issues and pointed to considerations and security staffing practices that can help medical and mental health units and facilities operate more safely and efficiently.

Rise in Medical and Mental Health Services in Corrections

Correctional administrators and medical and mental health practitioners agreed that the number of inmates with medical and/or mental health conditions who require residential treatment in special correctional units grew in the past decade. From 1992 to 2001, for example, the number of state and federal inmates age 50 or older increased from 41,586 in 1992 to 113,358 in 2001, a staggering 172.6 percent.[1] This demographic increase was generated at least in part by "three

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[1] Camille G. Camp, ed., *The Corrections Yearbook: Adult Corrections 2002* (Middletown, CT: Criminal Justice Institute, Inc., 2002).

strikes" felony sentencing, mandatory sentencing for drug offenses, elimination of parole at the federal level and in 14 states, and state "truth-in-sentencing" legislation prompted by the federal Violent Crime Control and Law Enforcement Act of 1994 (Public Law 103–322).

In several states, the number of inmates with serious medical and/or mental health needs prompted correctional agencies to devote entire facilities to their care. In 2002, 40 state correctional agencies operated separate units for inmates with medical needs, and 15 had separate facilities for inmates requiring specialized medical care. Fifteen departments of corrections housed elderly inmates at a single facility,[2] and 23 correctional agencies maintained special units for inmates with terminal illnesses.[3] All but two state correctional agencies maintained dedicated mental health units. In the 2004 national inventory, 81 percent of the participating agencies responded that they provide separate units for mentally ill inmates; 31 percent house mentally ill inmates in separate facilities. Several state correctional agencies operate both specialized facilities and units for mentally ill inmates.

The increasing demand for these services has affected security staffing. Providing security and supervision in medical and mental health units is much different than in general-population units. It is necessary to view these units with a different eye because of the unique issues posed by their populations, activities, and situations.

Current Security Staffing Practices in Medical and Mental Health Facilities

In late 2003, the researchers asked medical and mental health administrators in state and federal correctional agencies to complete a questionnaire regarding key security staffing issues and practices in units (if they exist) that house chronically ill and disabled inmates. Thirty-four (66 percent) of the jurisdictions responded. The administrators' experiences in and opinions about security staffing for these units/facilities were similar in many respects.

Medical and mental health services vary substantially from agency to agency and, in many systems, from facility to facility. To oversee these vital services for growing populations of mentally ill and chronically ill inmates, most correctional agencies have an administrator responsible for managing service delivery and/or monitoring any contracts with private vendor(s) throughout the agency. (Of the reporting agencies, 85 percent have mental health administrators and 91.2 percent have medical administrators.) About half of the agencies provide their own medical and mental health services in all facilities or in specific facilities rather than contract with a private provider for these services. The majority of the states (60

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[2] B.G. Harding, *Staffing Analysis for Women's Prisons and Special Prison Populations,* Special Issues in Corrections (Longmont, CO: U.S. Department of Justice, National Institute of Corrections Information Center, 2002).

[3] B. Jaye Anno, Camelia Graham, James E. Lawrence, and Ronald Shansky. *Correctional Health Care: Addressing the Needs of Elderly, Chronically Ill, and Terminally Ill Inmates* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

percent) follow professional standards (e.g., the American Correctional Association, the National Commission on Correctional Health Care, and the Joint Council on Accreditation of Healthcare Organizations) and/or state standards. A significant number of the responding administrators (73.3 percent of medical administrators and 40.6 percent of mental health administrators) reported having written policies and procedures that govern staffing practices in their specialized units.

The following sections report inventory results on four key issues in security staffing of medical and mental health units and facilities: 1) the roles of security staff, 2) indicators of insufficient security staffing levels, 3) factors that influence decisions to establish or eliminate security posts, and 4) collaboration between security staffing decisionmakers and medical and mental health administrators.

Role of Security Staff

The medical and mental health professionals who responded to the survey expected their security staff to fulfill various roles and responsibilities, notably the following:

- Report unusual changes in the inmate's condition (100 percent).

- Ensure security during the delivery of medical services inside and outside the housing units (97 percent).

- Escort inmates to medical/mental health services (94 percent of medical administrators and 92 percent of mental health administrators).

Exhibit 19 reports additional expectations for security staff in medical and mental health units. Note that the roles that most respondents agreed were expected of security staff in their units are security related—reporting behavior, securing activities, and escorting inmates.

Exhibit 19. Expectations of Security Staff in Medical and Mental Health Units

Security staff responsibility/duty	Percentage of respondents who agree	
	Medical	Mental health
Report any unusual change in an inmate's physical or mental condition.	100.0	100.0
Report to medical staff all incidents relating to an inmate's medical or mental health issues.	68.6	86.1
Participate in treatment-related team meetings.	48.6	86.1
Schedule and produce inmates for all medical and mental health appointments and related activities.	48.6	55.6
Escort inmates to medical and mental health services.	94.3	91.7
Manage inmates according to protocols as directed by medical and mental health staff.	57.1	75.0
Ensure security during delivery of medical and mental health services inside housing units.	97.1	97.2
Ensure security during delivery of medical and mental health services outside housing units.	97.1	88.9
Observe inmates who need special observation according to medical or mental health staff instructions and record observations as required.	82.9	94.4

Sources: Data are from the National Institute of Corrections' 2004 inventories on Appropriate Security Staffing for Medical Service Delivery and Appropriate Security Staffing for Mental Health Service Delivery.

The issue for the staffing analyst is whether calling, logging events, writing reports about inmate behavior, supervising inmates who are being administered medications and treatments, escorting inmates to and from clinics, and conducting security checks add enough to a post's workload to warrant additional security posts. In addition, the staffing analyst must consider whether these duties require specialized training beyond that provided at the academy.

The majority of the mental health professionals and almost half of the medical professionals responding to the inventory expect security staff to participate in treatment meetings; about half of both medical and mental health professionals expect them to schedule and produce inmates for appointments. These duties are time consuming and may add to a post's workload if included in the post orders. They have important implications for the number of posts as well as the training requirements for these units.

- Several of the tasks identified by the medical and mental health administrators who completed the inventory may prompt deliberations about role conflict and workload: 83 percent of the medical administrators and 94 percent of the mental health administrators expect unit security officers to watch inmates who are having suicidal crises or demonstrating bizarre behaviors.

- Sixty-nine percent of the medical administrators and 86 percent of the mental health administrators expect officers to report on incidents relating to inmates' particular illnesses.

- Fifty-seven percent of the medical administrators and 75 percent of the mental health administrators expect officers to perform professional protocols as directed by the administrators.

All of these duties may require additional training and perhaps even certification, and they all add to a post's workload significantly.

Focus group participants voiced similar roles and expectations for the security staff in their units. They emphasized the officer's role as an observer, calling officers their "eyes and ears." They enumerated specific tasks that security officers do such as lifting inmates, restraining inmates, serving as an observer for suicide prevention, helping with a number of treatments, leading inmates with dementia in the correct direction, and many other tasks that are not security related.

When asked if there were opportunities to save on medical or mental health staffing by having security officers help with inmates, or, conversely, to reduce security staff because of the presence of healthcare staff on the units, all focus group participants agreed that sharing security and healthcare duties is not a good idea. Establishing a line of demarcation by taking into account workload and training is the task of the staffing analyst.

The roles and responsibilities of security staff vary with the unit's physical characteristics, the specific conditions represented in the population(s) served, and, most

importantly, the philosophies of the medical and mental health administrators and security officials regarding role propriety and distinction. Careful review of role division as part of a joint or multidisciplinary staffing analysis would be useful for resolving scheduling conflicts, managing workload, improving services, reducing stress among security and medical/mental health workers, and, of course, ensuring institutional safety and security.

Indicators of Insufficient Security Staffing Levels

Adequate safety and security are enormously important to medical and mental health personnel who work in a special unit or facility. Analysts must determine whether the number of properly trained security post occupants is sufficient to supervise inmate activity and respond to the events that occur in a special unit.

Exhibit 20 reports the inventory respondents' views on indicators of insufficient security staffing levels. There was little agreement between medical and mental health professionals as to what constituted reliable and accurate indicators of insufficient staffing. For example, 48 percent of the medical administrators but only 33 percent of the mental health administrators agreed that confusion and congestion in the service delivery area signaled insufficient security staffing. There was more agreement regarding finding medicines during housing unit shakedowns, with 44 percent of the medical administrators and 43 percent of the mental health administrators agreeing that this was a reliable indicator. Forty percent of the mental health administrators indicated that they become concerned about security staffing levels when there are numerous staff complaints and grievances regarding lack of safety; among the medical professionals, however, slow response times to incidents in treatment or housing units were better indicators of insufficient security staff.

Exhibit 20. Views on Indicators of Insufficient Security Staffing

Indicator	Percentage of respondents who agree	
	Medical	Mental health
Service delivery area/clinic is confusing and congested.	48	33
Housing units are in a poor state of cleanliness.	12	23
Inmates are consistently late for medical/mental health appointments at the clinic.	24	33
Security is slow to respond to incident(s) involving inmates in the treatment area.	36	37
Security is slow to respond to incident(s) involving inmates in housing units.	32	37
Medicines are found during shakedowns of housing units.	44	43
Staff complaints and grievances regarding the lack of safety are numerous.	28	40

Sources: Data are from the National Institute of Corrections' 2004 inventories on Appropriate Security Staffing for Medical Service Delivery and Appropriate Security Staffing for Mental Health Service Delivery.

In addition to highlighting the lack of consensus on indicators of insufficient security staffing, these percentages reveal that less than half of the respondents valued the indicators. These results point to the need for collaboration between medical and mental health administrators and security staff in a multidisciplinary staffing analysis. It is the staffing analyst's responsibility to look at these and other signs of stress to determine whether the post is overworked or needs a partner post or if the unit's schedule needs tweaking to even out workflow. If safety is an issue, the analyst should review the rate of incidents in the unit(s). If the rates are high or have changed significantly, the analyst should recommend at least a temporary increase in staff to ameliorate the situation. Such an increase should be accompanied by a specification of tasks and a clear division of labor. If adding staff and/or clarifying post orders do not address the problem(s), the analyst should investigate other potential factors.

Factors That Influence Decisions To Establish or Eliminate Security Posts

Inventory respondents were asked to rate the importance of a series of security posting factors in deciding whether to add or eliminate a post. Respondents used a scale of 0 to 5, where 0 was defined as "not considered" and 5 as "utmost influence." Exhibit 21 shows that medical and mental health professionals generally agreed as to the relative importance of the various factors.

The significance assigned to the factors listed in exhibit 21 is critical because one of the major duties of the security post in a special unit is to ensure the safety of all staff (including medical and mental health staff) and inmates in a unit where great vulnerability exists (especially in the case of mental health units). Concerning inmate characteristics, note the concern for danger (risk) indicated by the high ratings healthcare administrators assigned to inmate custody levels (medical administrators, 4.2; mental health administrators, 4.4). Medical and mental health units are multicustody units. A chronically ill person who has committed aggravated assault and battery may be alongside a person confined for a property crime. The medical and mental health staffperson knows that the unit is being operated for the need and not the risk, so, unless briefed by security as to each inmate's custody level, he or she must always assume vulnerability and maximum risk.

The presence of inmates in the unit who require escort by security staff was rated relatively high (medical administrators, 3.0; mental health administrators, 3.4), indicating concern that the security staff will be adequate to physically manage inmates. This is a workload issue staffing analysts must consider. Of final note is medical and mental health administrators' concern for medication administration: The ratings for administration of medications at a common point in or near the housing unit were 3.8 and 3.5, respectively, for medical and mental health administrators. Analysts may need to consider whether an officer should perform this duty, and, if so, what the cost implications are.

Staffing analysts should not overlook behavioral problems or idiosyncrasies of inmates under the supervision of post occupants when examining workload problems in the unit. A good analyst will look for these issues and ask medical and mental health staff about the unit's security and how it can be improved.

Tip: The staffing analyst must be aware of the risks in the unit, particularly in mental health units, where bizarre and violent behaviors occur frequently. The level of risk may determine the appropriate number of security staff.

Exhibit 21. **Views on the Importance of Security Posting Factors in Special Population Units**

Security posting factor	Average rating*	
	Medical	**Mental health**
Characteristics of the patient population		
Gender.	2.6	2.5
Inmates who require medications at regular intervals.	2.9	3.0
Inmates who require escort in the unit (e.g., to bathroom).	3.0	3.4
Custody level.	4.2	4.4
Unit's physical characteristics and technologies		
Body or other alarms for all staff involved.	3.0	3.1
Intercom for communication between staff and inmates.	3.0	2.6
Equipment/space for administering medications.	3.2	3.5
One-on-one examining rooms.	3.2	3.7
Video surveillance for some or all cells in the unit.	3.7	3.6
Special observation cells.	3.9	4.2
Points of service and access to service		
Medical treatment provided in medical spaces in housing unit(s).	3.1	3.6
Medications administered in the clinic.	3.3	3.3
Separate, dedicated medical treatment housing unit where services are delivered.	3.4	3.7
Triage/sick call conducted in the housing unit or outside the unit.	3.5	3.6
Inmates go unescorted to medical clinics and treatment programs.	3.5	3.2
Departmental medical services are available in other institutions to which inmates can be transferred if they require additional services.	3.7	3.3
Specially configured and equipped medical residential units for delivery of many medical services.	3.7	3.7
Medications administered at a common location in or near housing units.	3.8	3.5
Inmates are escorted/transported by security staff to the facility's onsite clinic(s) for appointments and treatment.	4.1	4.0
Medical offices/clinics located in the institution are open during the day.	4.3	4.0
Medical clinic/infirmary open 24 hours per day.	4.4	4.0
Staff safety		
Security staff who work in medical areas are specially trained to work with chronically ill or mentally ill inmates.	3.9	3.8
Medical workers are trained in security to enhance their ability to function safely in a prison environment.	3.8	3.8
Number of professional staff dedicated to the unit.	3.5	3.8
Time and schedule of when inmates are out of their cells/rooms but in the unit.	3.4	3.5
Time and schedule of when inmates are outside the housing unit.	3.7	3.8
Special duties such as security supervision of pill lines, examinations, and therapy.	3.7	3.8

*Respondents were asked to rate on a scale of 0 to 5 the factor's influence on their decision to place a post: 0—not considered; 1—very little influence; 2—small amount of influence; 3—moderate amount of influence; 4—significant influence; and 5—utmost influence.

Sources: Data are from the National Institute of Corrections' 2004 inventories on Appropriate Security Staffing for Medical Service Delivery and Appropriate Security Staffing for Mental Health Service Delivery.

With regard to the unit's physical characteristics, the respondents were concerned about space and equipment, especially the presence of special observation cells (medical health administrators, 3.9; mental health administrators, 4.2), probably because the policy in most units is that security staff are given observation duty. The analyst may be concerned as well, but the duty can be negotiated with the healthcare administrator. Either way, someone bears the cost of the staff required for special observation duty. Video surveillance, which can reduce touring of the unit to observe problem inmates, was rated as moderately important (medical administrators, 3.7; mental health administrators, 3.6). Concern for examining rooms was greater among mental health administrators than medical administrators (3.7 and 3.2, respectively), as was concern for equipment/space for administering medications (3.5 and 3.2, respectively). These ratings suggest that the staffing analyst should look at these factors as well when evaluating workload on the post.

The inventory results show clearly that medical and mental health administrators think that the number of security officers needed depends heavily on points of service and access to service. The staffing analyst should look closely at these issues and at the availability of officers for healthcare-related transportation and escort, which medical administrators rated 4.1 and mental health administrators 4.0. Administrators placed high importance on having enough security staff presence during the hours that medical offices, clinics, and infirmaries are open (medical administrators, 4.3; mental health administrators, 4.0). It appears that healthcare professionals are also concerned about the availability of security staff when medical treatment is provided in medical spaces on the housing units (medical administrators, 3.1; mental health administrators, 3.6); and when triage/sick call is conducted in the housing unit (medical administrators, 3.5; mental health administrators, 3.6). Staffing analysts should be equally concerned about the number of staff available for these activities.

The inventory respondents' ratings of the importance of posting factors related to staff safety were generally not as high as expected, particularly with regard to the value of special training for security staff working on medical/mental health units and of cross-training for healthcare and security staff working on these units. However, consistently high ratings were assigned to security staff's availability to monitor inmates during treatment, administration of medications, examinations, and therapy (medical administrators, 4.2; mental health administrators, 3.9) and when they are out of their cells (medical administrators, 3.4; mental health administrators, 3.5). These ratings indicate clearly that when healthcare staff are in the housing unit or in a face-to-face interaction with an inmate, they want security staff to be readily available. This is valuable information when evaluating the security officer's workload.

Focus Group Comments

Although the focus group participants did not assign numerical weights to security posting factors, they expressed views similar to those of the medical and mental health administrators who responded to the inventory. Here are a few of their comments (emphasis added).

"Decisions by security staff . . . as to *where services are delivered* make a huge impact. It is much more staff intensive to bring medicine to the units."

"*Custody level, configuration, and type of institution* make a big difference."

"*Acuity level* of population is also an important factor."

"*Where the specialty service is provided* has a profound impact."

"If *custody level of population* will not allow 'keep on person' medication, it increases staffing needs."

"One of the most important factors affecting medical/mental [health] staffing is *the mission* of your facility."

"Not a lot of collaboration between security and medical/mental health staff . . . but there should be. A lot of times staffing is based on what was done historically."

Collaboration Between Staffing Decisionmakers and Medical and Mental Health Administrators

The importance of collaboration between security staffing and medical and mental health administrators was emphasized numerous times in the focus group meeting and is reflected in the inventory responses. For example, very few of the responding agencies include medical or mental health administrators in the process of screening security staff as to their suitability for working in these specialized units. Only 15 percent of medical administrators and 12 percent of mental health administrators indicated that they participate in screening security staff. In most agencies, however, security staff are specially trained by medical professionals (79 percent) or mental health professionals (91 percent) before working in a special unit.

All medical administrators (100 percent) and 93 percent of mental health administrators reported that they keep security staffing administrators apprised of their need for additional staff. In contrast, only about half of the respondents reported that security staff routinely solicit their input regarding security staffing needs (medical administrators, 46 percent; mental health administrators, 55 percent).

Although the focus group participants emphasized the importance of specialized training and exemption from rotation for specially trained officers, the inventory responses showed that most of the responding agencies (77 percent) do not exempt these officers from the facility's rotation schedule. When medical and mental health units are considered separately, the inventory data suggest that specially trained staff are exempt from rotation outside medical units in less than 5 percent of the responding agencies (3.8 percent) and from rotation outside mental health units in only 11 percent of responding agencies. Only about half of the agencies (47 percent) reported that the medical and mental health units have their own master roster.

Most of the responding agencies do not calculate a separate shift relief factor for their medical or mental health units (9 percent and 20 percent, respectively). How-ever, several agencies have a specific method to determine the number of security staff needed to support medical/health service functions (40 percent) and/or mental health functions (44 percent).[4]

While these data from the national inventory are interesting in and of themselves, their implications for security staff decisions in medical and mental health units are more important. In only about half of the responding agencies do medical and/or mental health professionals collaborate with security staffing analysts to determine the number, schedule, and/or post orders for security staff in their units. The focus group participants were adamant that the following procedures should be implemented:
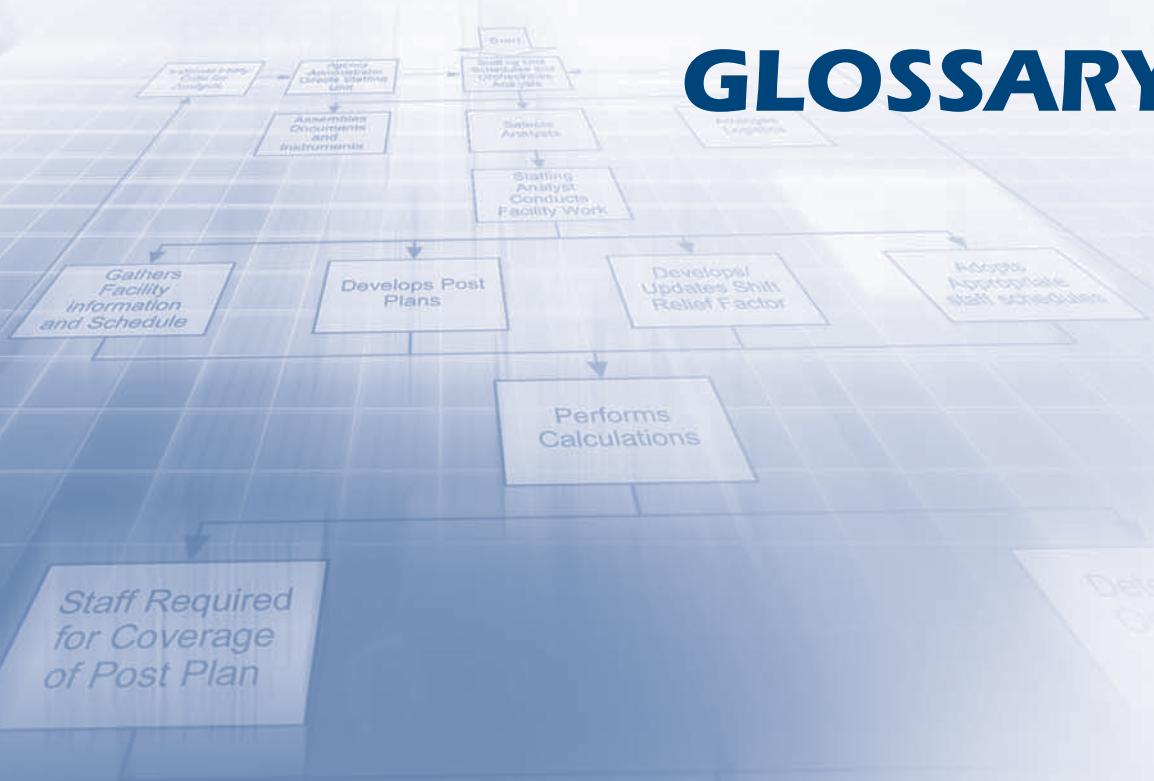
- Make the staffing analysis a joint process.

- Require specialized pre- and inservice training for security staff who work in medical and mental health units.

- Conduct preliminary screening of applicants and/or follow a simple process for reassigning staff who are inappropriate for the unit.

Summary

Security staffing for medical and mental health units poses special challenges for the staffing analyst. As the researchers explored the roles of security staff in these units, it became quite clear that the traditional security roles of supervising and escorting/transporting inmates have been expanded. Security staff serve as the first line of observation and reporting, making it necessary to consider specialized training and the workload for these posts. Yet the lack of agreement among medical and mental health professionals as to what constitutes reliable and accurate indicators of insufficient staffing in their units suggests that creativity is required when evaluating security posts for these units. Both of these observations point to the final security staffing issue: the need for collaboration between security staffing decisionmakers and medical and mental health administrators. The need for a joint staffing analysis process was emphasized repeatedly by all.

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[4] In *Staffing Analysis for Women's Prisons and Special Prison Populations* (Longmont, CO: U.S. Department of Justice, National Institute of Corrections Information Center, 2002) Harding reports that 69 percent of the correctional agencies responding to the survey used the same formal staffing analysis method for medical units as for general-population units for men.

GLOSSARY

GLOSSARY

Administrative segregation. An administrative status assigned to an inmate by special hearing, as opposed to a custody level assigned according to scoring based on objective criteria. This status is assigned to inmates who pose serious management and/or security risks to an institution's orderly operation. Inmates in administrative segregation are kept separate from other inmates in special high-security housing generally referred to as supermaximum housing. Their movement within the institution is restricted, their privileges are restricted, and higher levels of security procedures are used to manage them, including the use of restraints when out of cell. Inmates are generally placed in administrative segregation for an indefinite period of time, until they no longer present a serious risk.

Assault. An action taken that causes injury (or potential injury) to another individual. The specific definition of assault varies across agencies; one agency may restrict the definition to actions that cause serious physical harm while another may expand the definition to include spitting and throwing bodily fluids.

Average daily population (ADP). The average number of inmates incarcerated by an agency on any given day during one calendar year.

Closed post. A post to which no staff are assigned during a specific shift due to staffing needs elsewhere.

Collapsible post. A post that is not staffed for a portion of a specific shift when the officer is reassigned to another post. (See also *pulled post.*)

Collective bargaining unit agreement. An agreement between correctional management and union representatives concerning the agency's staff deployment policies and practices, wages, or working conditions. The agreement usually results in a modification in a current practice that has required adversarial negotiations and compromises on both sides.

Community custody. Custody level at which inmates are assigned to community residential facilities or halfway houses and participate in work, education, and other activities in the community. Assigned inmates appear to present the least risk to the community and therefore require only periodic supervision appropriate to the circumstances of their particular program or job assignment.

Consent decree. An order issued by a judge that establishes conditions to which both plaintiffs and defendants have agreed (in the case of prison/jail litigation, the

defendant is almost always the prison or jail administration). Generally, consent decrees set forth a series of requirements that prison or jail systems or individual facilities must meet.

Correctional officer. Security staff (nonsupervisory) responsible for the direct supervision of inmates and/or other operational and security administrative duties.

Critical complement. The minimum number of employees required to fill mandatory/critical posts according to the post plan.

Custody level. The level of risk an inmate poses to the safety and security of a correctional institution, other inmates, and the state, and the corresponding degree of supervision required. An inmate's custody level affects which facility he/she is assigned to, his/her movement within and outside of the facility, general surveillance, and access to programs and jobs.

Daily roster. A document that reflects daily assignments of uniformed staff to each post for each shift that has been approved for the facility, according to the master roster. The daily roster accounts for and shows the status of all uniformed staff, including all staff absent and the reason for their absence; delineates the assignment of relief staff; and reflects the temporary detachment of uniformed staff.

Death row. Maximum-security housing reserved for inmates who have been sentenced to death.

Disciplinary segregation. An administrative status assigned to an inmate by special hearing, as opposed to a custody level assigned according to scoring based on objective criteria. This status is assigned to inmates who are temporarily placed in a separate housing area for a fixed amount of time as punishment for an infraction of institutional rules, but not necessarily for committing a criminal act. (Note that administrative segregation and disciplinary segregation are usually located in the same high-security physical housing generally referred to as supermaximum.)

Essential post. A post that is required for normal facility operations and activities but that may be temporarily interrupted without significant impact (e.g., visiting room). Designation of the priority the post carries in staffing the facility on a given shift.

Facility designation. The mission and physical capability of a facility to house particular custody level(s) of inmates or to house inmates for special needs and/or programs (e.g., maximum security, therapeutic community, geriatric unit, hospital, mental health unit, or reception unit).

Full-time equivalent (FTE). A term used to translate staffing requirements into the number of full-time staff members needed to fill the required hours. FTE calculations consider the net amount of time a full-time staff member is available (net annual work hours) after subtracting time away from the post (e.g., vacation, sick leave, holidays, training time).

Grievance. A formal complaint filed by an inmate, who uses a form to state his/her disagreement with the agency and to request resolution. Inmates usually use these forms when they believe that informal resolutions were unsuccessful or unsatisfactory.

Inservice training. Training provided (usually annually, but often on an ad hoc basis) to facility staff.

Intrusion devices. Any of a number of technologies that detect intrusion at the perimeter and sound an alarm in central control so that a team is dispatched to stop an escape.

Job description. A detailed statement of the duties and responsibilities associated with a discrete job classification in the facility, but not necessarily tied to a specific post or shift (e.g., correctional officer, control room officer).

Mandated activity/operation. An activity/operation that is critical to the functioning of the facility (e.g., center control room operations).

Mandatory post. A post/job that is critical to maintaining safety or security or to accomplishing mandated activities/operations of a facility. Designation of the priority the post carries in staffing the facility on a given shift.

Master roster. A document that reflects the assignment of uniformed staff to each post approved in the staffing analysis report and indicates which staff serve as fixed relief for each post. If a post included in the staffing analysis report is vacant, the master roster shows the vacancy and provides the reason for it. The master roster also reflects the shift and days off for each post and includes post titles, operational staffing priority, roster number, employee name, date assigned to the post, qualification data (e.g., weapons, commercial driver's license), days off, and days worked.

Maximum/High/Close custody (terms vary among agencies). An objectively scored custody level that provides for continual supervision and accountability of inmates who have demonstrated by their conduct (e.g., serious crimes) and/or prior institutional behavior (e.g., assault, escape histories) that they pose a threat to the safety and security of the institutional population and staff. These inmates are not allowed outside the facility's secure perimeter (except as required for court appearances, transfers, or medical emergencies), are prohibited from participating in programs that entail outside movement, and are constantly observed while inside the facility. On trips outside the secure perimeter (e.g., to and from court), hand and leg restraints and sometimes armed supervision are required.

Medium custody. Custody level of inmates who require less than close custody but more than minimal supervision; are assigned to regular quarters and are eligible for all regular work assignments and activities under a normal level of supervision; are not allowed outside the facility's secure perimeter and are therefore ineligible for work details or programs outside of that perimeter and whose inside

movement (except callouts) is subject to the issuance of passes; and who are re-strained for any outside movement except work or program assignments.

Medium-security facility. A facility designed for intermittent supervision and observation of inmates. Movement is by pass or electronic accountability. The compound is entered and exited via trap gate/sallyport and may include any combination of walls, double fences, razor wire, armed towers, electronic security, alarms, mobile patrols, dogs, single and/or double cells, rooms, or dormitory housing (depending on the agency's design policy).

Minimum/Low custody. Custody level of inmates who have demonstrated ac-ceptable institutional behavior and are not deemed as threats to the community or institutional security and safety. They generally may move in the facility without the use of passes, and may participate unescorted in outside programs and work details on a time-restricted basis with intermittent or indirect supervision.

Minimum-/Low-security facility. Facility that includes a fenced or posted perim-eter and employs intermittent staff supervision and surveillance (preferably visual) of entryways and exits. Inmates are held accountable for their exits, entries, and time spent outside of the facility. Housing designs include single rooms, multiple occupancy rooms, and dormitory housing.

Multilevel facility. Facility that houses more than one custody level or contains housing units that house inmates with different levels of custody classification. Each housing unit in a multilevel facility is normally in keeping with the particu-lar custody level housed therein, except those that house inmates with special management/needs considerations. If housing units are to be used interchangeably by any custody level housed in the facility, they must be capable of accommodat-ing inmates of the highest custody level, and perimeters of any multilevel facility should always be capable of preventing the escape of inmates with the highest custody level.

Net annual work hours (NAWH). The number of hours staff are available to work per year. To calculate NAWH, take the number of hours per year staff are contracted to work and subtract from that the average number of hours a staff person is unavailable to work per year.

Nonsecurity staff. Staff whose primary functions and specific duties do not in-clude inmate surveillance and control.

Operational expenditures. Money spent for staff, food, clothing, medical ser-vices, programs, utilities, maintenance, supplies, and so forth.

Operational staffing plan. A list of posts to be closed or collapsed for each shift in the event that other staffing needs or availability require such action.

Optional post. A post which, when opened, serves an important purpose, but whose duties are not critical/essential for normal facility operations and for which

coverage on an irregular basis does not adversely affect facility operations and activities (e.g., second officer in a dormitory, fifth officer in the mess hall during peak hours).

Overlapping shift. A shift that extends into one or two regular shifts to overlap coverage. For example, a shift supervisor might have a 9-hour shift that begins one-half hour before a regular 8-hour shift and ends one-half hour into the following shift.

Patients. Inmates who are medically or mentally ill and/or are receiving medical or mental health services.

Permanent post. An officially established and authorized post that is listed in the post plan.

Personal services budget. The amount of money in an annual or biennial correctional budget that is allocated for the payment of personal services utilized to operate the correctional agency.

Position. A set of responsibilities and duties that constitute a function performed by an employee, who may or may not occupy a *post;* may also refer to a job not filled by any other staff member when the person holding the position is not on duty (e.g., secretary, classification officer, assistant jail administrator). (Continuous coverage usually distinguishes a *post* from a *position;* a position has tasks that can usually be deferred until the staff member is available; posts have tasks that usually cannot be deferred.)

Position description. A detailed statement of the responsibilities and duties associated with a particular position in the facility.

Post. An established staff function assigned to a particular area/service that is scheduled to be occupied (open) at prescribed time periods and on particular days according to a post plan; a job defined by its location, time, and specific duties. A post can be occupied interchangeably by a number of security positions. (Continuous coverage usually distinguishes a *post* from a *position;* a post has tasks that usually cannot be deferred.)

Post bidding. Employee requests for assignments to specific and preferred posts and shifts based on seniority and/or rank.

Post order. Detailed description of the responsibilities of a given post and the tasks that are to be completed on each shift of that post.

Post plan. A listing by title of all security posts that are necessary to operate a correctional facility; a listing of all permanent posts in a facility by location, primary function, priority, classification, and hours of operation. (The summary of a post plan indicates by correctional officer rank the number of 5-day posts, 7-day posts, relief positions required for the 7-day posts, and the total number of positions required.)

Post rotation. The reassignment of security staff from one post to another within the same shift.

Power shift. A shift that overlaps other shifts or differs substantially from regular facility shifts. For example, an intake officer might be assigned to work from 8 p.m. to 4 a.m. on weekends to coincide with peak periods of admission.

Professional staff. Staff members with special education and training who provide specialized services to inmates (e.g., medical and mental health staff, educational and vocational instructors, recreation therapists).

Protective custody. An administrative status assigned to an inmate by special determination, as opposed to a custody level assigned according to scoring based on objective criteria. This status is assigned to inmates who request, or who are deemed by staff to be in need of, protection from other inmates because their safety or lives are in jeopardy. Protective custody inmates are housed in an area separate from the general inmate population and moved under direct supervision and apart from general population inmates to ensure that there is no contact with potential assailants. They are also programmed separately from other inmates.

Pulled post. A post that is not staffed for a portion of a specific shift when its occupant is reassigned to another post. (See also *collapsible post.*)

Reception centers (admissions, diagnostic, intake, evaluation). Facilities that house inmates whose custody level has not been assessed. Because the degree of risk posed by these inmates is unknown, reception centers are constructed and equipped to handle high/close or maximum custody inmates.

Recommended post plan. A post plan containing recommended post additions or deletions or any other modifications needed. It is generally prepared and submitted to security operations by the chief of security.

Security complement. The number of security positions available to fill the facility's posts as delineated in the post plan.

Security level. The physical (architectural, environmental) constraints of an institution designed and constructed to confine inmates. Factors include perimeter security, existence and operation of watchtowers, external patrols, perimeter detection devices, electronics for surveillance and locking, construction quality, security materials, and equipment and housing design.

Security positions, posts, shifts, or assignments. Positions, posts, shifts, or assignments filled by correctional officers within the Department of Corrections.

Security post planning. An exercise performed to ensure efficient posting of staff throughout the facility/agency that involves 1) the establishment and/or the review of all security posts in a facility/agency according to specific guidelines and 2) the presentation of recommendations in a usable format.

Security staff. Uniformed staff whose primary function and duties are to protect staff and inmates inside the facility from harm by means of surveillance, protect the facility from contraband, maintain facility order according to specific procedures, supervise inmate activity, account for the whereabouts of all staff and inmates at all times of the day and night, perform security operations and control movement, and protect the facility from intruders.

Security staffing levels. Priority for posting designations given to each 5- and 7-day post.

Seniority. Continuous service in the job classification/occupational level. An employee is considered to have a break in service when the employee separates from the Department of Corrections and is not on the payroll for at least 31 calendar days following the separation.

Shift. A defined, recurring period of time during which a staff member is assigned to work.

Shift relief factor. Number of staff needed to fill a relieved post (one that is covered on a continuous basis) for a single shift.

Staff deployment unit/section/officer. The staff person(s) in charge of maintaining and implementing staff deployment policy and procedures and of planning and conducting staffing analyses at the agency, regional, and facility levels.

Staffing analysis. An exercise using methodical and detailed procedures to establish, validate, and/or modify post plans, scheduling patterns, shift relief factors, and so forth to calculate the number of full-time-equivalent positions required to maintain a full complement of staff to operate a facility safely and securely without the use of overtime; a comprehensive and systematic process of determining staff needs (in response to changes in the facility's philosophy, operations, or physical plant) and developing staff assignment patterns for the facility.

Staffing analysis report. A document that reflects each regular post approved for a facility, indicating the post's title, classification, minimum staffing priority, post order number, and shift assignment; the number of days the post is filled; whether the post requires relief; the appropriate shift relief factor to be applied; and the total number of staff needed to cover the post.

Staffing analyst. An individual who performs one or more of several functions for a correctional agency or facility during a staffing analysis. Staffing analysts oversee the staffing analysis for an agency or facility, evaluate posts and make recommendations for their function and use, develop shift relief factors for job classifications and facilities, and prepare a report of the results and implications of the staffing analysis.

Standards. Mandatory and voluntary operating conditions for a prison. National, state, and local standards provide important guidelines for developing and evaluating staffing plans.

Supermaximum-security facility. Facility for inmates who are a threat to institutional security and therefore have been admitted to administrative segregation by hearing rather than the classification process, and for whom the greatest degree of observation and stringent security is applied, restricting them to their cells for the majority of their time. Movement within the facility requires constant observation, restraint, and/or electronic surveillance. All entry into and exit from the compound are via trap gate/sallyport. Security restraints and armed escorts are required for trips. Physical security may include any combination of walls, double fences, razor wire, armed towers, electronic security, alarms, mobile patrols, dogs, and so forth. Cells are either contained within a cell block on four sides (so that if an inmate escapes from a cell, he/she is still confined within the building) or are doubly secured from the perimeter by security hardware (e.g., rebar within concrete walls, electronic locking, solid steel doors, bars, fences). Some supermaximum-security facilities reinforce cells with extra hardware, and some cell houses are even equipped with weapons located in a secure, remote, but strategically positioned spot ready for use. Many of these facilities are designed for indirect supervision to minimize the opportunity for assaults on staff.

Supervision of inmates. Staff activities that involve direct, barrier-free contact with inmates, including conversing and interacting directly with them. Good supervision allows staff to sense inmate moods, anticipate problems, and prevent future problems.

Surveillance of inmates. Staff activities that include observing or monitoring inmate behavior, often through glass barriers or by using audio or visual equipment. For example, an officer may view a housing area or dayroom from an enclosed control station or through a closed-circuit television monitor.

Surveillance technology. Technological devices such as barcode readers, video cameras, audio devices, intercom systems, and movement detection devices that are used to replace or enhance staff surveillance of inmates, thereby increasing awareness and accountability for movement and location of persons at the facility.

Temporary post. A post for which approval/authorization is limited to a given number of days.

Unclassified (admission/transient). Classification status of inmates whose threat to institutional safety and security has not been assessed formally because they are new admissions or because they are in transit from one facility to another.
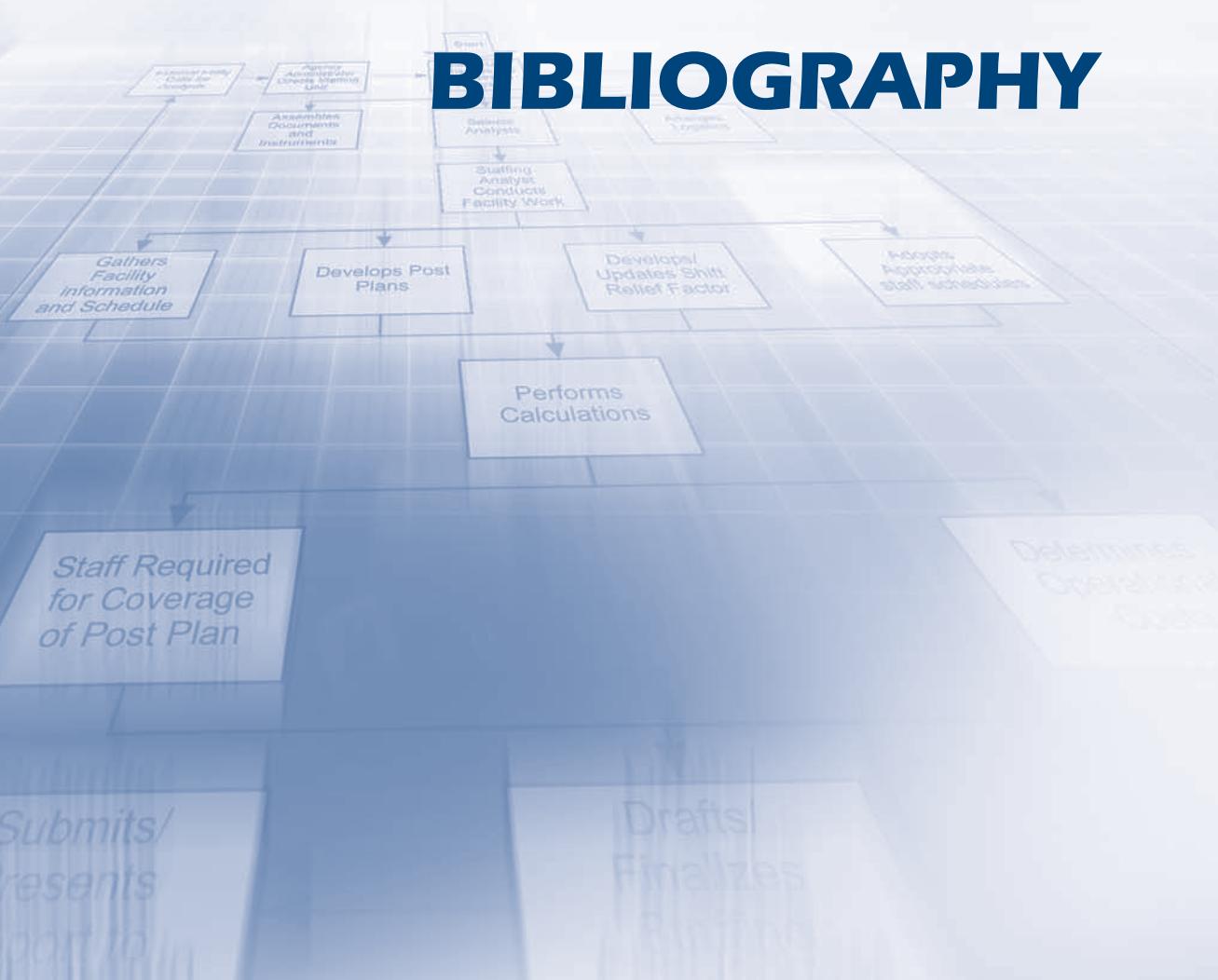
Uniformed staff. All correctional security staff, including majors, captains, lieutenants, sergeants, and officers.

Unit management. Semiautonomous form of management that uses direct supervision and minimal rotation of staff in a housing unit. Widely considered the preferred type of supervision.

Vacant post. A post included in a facility's staffing analysis report to which no staff are assigned for an extended period (longer than one shift) due to staffing needs.

Zero-based budgeting. The development of an annual budget for a facility as though the facility's prior budget has no weight; that is, every budget item requires a rationale for how the budget figure was calculated independent of the historical budget figure from the previous year or years.

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SECURITY STAFFING FOR PRISONS: RESULTS OF FOUR NATIONWIDE INVENTORIES

Appendix A. Security Staffing for Prisons: Results of Four Nationwide Inventories

APPENDIX A

Security Staffing for Prisons: Results of Four Nationwide Inventories

The National Institute of Corrections' project to adapt the *Staffing Analysis Workbook for Jails*[1] for correctional agencies included the task of identifying the current and best security staffing analysis practices nationwide and incorporating them into a training program for correctional agencies. The project also included taking an inventory of exemplary staffing practices in men's prisons, women's correctional facilities, and facilities and/or units for chronically ill and mentally ill populations. The results of these inventories were used in developing this training manual. The inventory responses were also used to identify potential participants to attend three national focus group meetings to explore staffing issues and best practices in staffing facilities and units for four populations—agencywide populations in general, medically and chronically ill populations, mentally ill populations, and women's general populations.

Very early in the process of developing the inventory instrument, it became clear that four custom-crafted inventories (rather than a single instrument) would be required to collect relevant staffing information about these populations. To minimize confusion associated with agency-specific language or terms, the inventories provided definitions of key terms and contact information (telephone numbers and e-mail addresses) for the Criminal Justice Institute, which developed the inventories, should further clarification be needed.

In November 2003, the four inventories were mailed to the directors of corrections for each of the 50 states and the Federal Bureau of Prisons with a request that they be directed to the agency employees most qualified to discuss staff deployment, delivery of medical services, delivery of mental health services, and staffing in women's facilities. Copies of the four inventories are included at the end of this appendix. The specific parameters for respondents established by each inventory are as follows:

- **Best Practices in Prison Staffing Analysis.** This inventory was to be completed by the individual in charge of security staff deployment. If no one individual was responsible, it was to be completed by the person most knowledgeable about the agency's security staffing procedures and practices.

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[1] Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d edition (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003).

- **Appropriate Security Staffing for Medical Service Delivery.** This inventory was to be completed by the individual in charge of delivering medical services to chronically ill inmates in corrections facilities and special units. If a private contractor provided security and medical/health services for the agency, either the agency's contract monitor or the contractor was to complete this inventory.

- **Appropriate Security Staffing for Mental Health Service Delivery.** This inventory was to be completed by the individual in charge of delivering services to mentally ill inmates. If a private contractor provided security and mental health services for the agency, either the agency's contract monitor or the contractor was to complete the inventory.

- **Staffing for Women's Correctional Institutions.** This inventory was to be completed by the individual in charge of staff deployment for adult female inmates. If such a division did not exist, the person most knowledgeable and/or responsible for staffing women's facilities was to complete this inventory.

The researchers began their analyses of inventory results in February 2004, after multiple mailings and followup via telephone and e-mail to prompt the agencies to complete and return the inventories. The response rates were as follows: Best Practices in Prison Staffing Analysis, 71 percent (36 agencies); Appropriate Security Staffing for Medical Service Delivery, 63 percent (32 agencies); Appropriate Security Staffing for Mental Health Service Delivery, 65 percent (33 agencies); and Staffing Deployment for Women's Correctional Institutions, 71 percent (36 agencies). Analyses of the specific agencies that responded suggested that the sample accurately reflected current national trends; the respondents represented agencies with small, moderate, and large prison populations from every geographic region in the country.

Because the four inventories each focused on somewhat different topics and questions, the findings are discussed separately here and comparisons drawn as appropriate.

Findings of the National Inventory on Best Practices in Prison Staffing Analysis

The Staffing Analysis Process

The first series of questions in the staffing analysis inventory focused on the correctional agency's process for managing its staffing complement. Although 71 percent of the agencies reported that their policies require a periodic analysis of security staffing levels, only about half had a designated agency-level position dedicated to the management of staffing. As shown in table 1, only about one-third of the agencies conduct an analysis of security staffing needs annually, and about 10 percent conduct an analysis every 2 years. Among those that have a regular schedule for conducting staffing analyses, about half of the agencies

reported that they conduct interim reviews of components of the process between regularly scheduled staffing analyses. Clearly, the norm across all of the agencies is to conduct an analysis of security staff deployment "as needed."

Table 1 suggests that for most agencies (approximately 74 percent), staffing analyses for nonsecurity and professional staff also are conducted only as needed. When asked what factors might prompt an agency to conduct a staffing analysis, 18 of the 32 agencies (56 percent) indicated that use of overtime or excessive overtime was an important factor. Other reasons included changes in the mission or security level of a facility, facility-specific problems, and requests for additional staff.

Table 1. Frequency at Which Correctional Agencies Conduct Staffing Analyses

Staffing Evaluated	Frequency of Evaluation (%)			
	As Needed	Annually	Every 2 Years	Not Required
Security	50.00	31.30	9.40	9.40
Nonsecurity	74.20	12.90	3.20	9.70
Professional	73.30	10.00	3.30	13.30

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing Analysis.

When asked about the methodology they used for staffing analysis, the agencies were consistent in the procedures they identified (table 2). For most (75 percent), a staffing analysis includes the following procedures:

- Review of the operation of posts on a shift-by-shift basis.

- Review of the master and daily rosters.

- Review of current staffing patterns.

- Review of the post priority for occupancy.

- Review of scheduling patterns.

- Recalculation of the required number of full-time-equivalent (FTE) employees.

Only about 50 percent of the agencies generate a written report summarizing the methodology, findings, and recommendations resulting from the staffing analysis. Perhaps the most troubling response regarding procedures was the lack of automation: only 38.2 percent of the agencies reported that their staffing procedures were automated.

As suggested in table 2 (page 156), most of the agencies have a specific formula or process for calculating the number of FTE positions required for security staff. When asked specifically if their agency computes a shift relief factor (SRF), 88.2 percent answered yes; however, as shown in table 3 (page 157), the responses varied dramatically with regard to the specific formula or calculation. Although

Table 2. Procedures Included in a Security Staffing Analysis Process

Procedure	Agencies Including Procedure (%)
Review of the operation of posts on a shift-by-shift basis	88.6
Review of daily rosters	85.7
Recalculation of required FTE	85.7
Review of the master roster	80.0
Review of existing scheduling patterns to determine the most economical	77.1
Review of the staffing complement by priority (i.e., critical, essential, optional)	77.1
Formal add-and-delete procedure that includes justifications for modifications and is reviewed by higher authorities	74.3
Study of time and attendance to determine average use of leave	68.6
Review of procedures and practices for weekly and monthly assignments, by shift	68.6
Recalculation of a shift relief factor or NAWH based on leave policies	65.7
Generation of a written report summarizing the methodology, findings, and recommendations resulting from the staffing analysis	54.3
Standardized report summarizing the activities and decisions associated with staffing	37.1

FTE = full-time equivalent; NAWH = net annual work hours

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing Analysis.

few agencies (32 percent) calculate a separate SRF for each security rank, half calculate a separate SRF for each of their facilities. Perhaps one of the more surprising results from this inventory was the lack of consistency as to the types of leave included in the calculation. Virtually all agencies include vacation days (94 percent), sick leave (91 percent), and training days (85 percent), yet less than half include absences for bereavement (44.1 percent), leave without pay (44.1 percent), and meals or break hours (23.5 percent). Of particular interest, given the prevalence of military service among correctional staff, only about two-thirds of the agencies include military leave in the computation of their SRFs.

Decisionmaking in Establishing a Security Post

To learn about the agencies' processes for determining when to establish or delete a post, respondents were asked to rate the importance of a series of factors related to the physical environment, management- and staff-related issues, activities, and the inmate population in deciding whether to add or eliminate a post. Respondents rated each factor's influence on their posting decisions on a scale of 0 to 5, where 0 is "not considered," 1 is "very little influence," 2 is "small amount of influence," 3 is "moderate amount of influence," 4 is "significant influence," and 5 is "utmost influence."

Table 3. Calculation of the Shift Relief Factor

Process: Does your agency . . .	Agencies Responding Yes (%)
Compute a shift relief factor?	88.2
Calculate a separate shift relief factor for each security rank?	32.3
Use the same shift relief factor calculation for all security staff?	63.3
Calculate a separate shift relief factor for each individual facility?	50.0
Include the following types of leave/absence in its shift relief factor?	
Vacation	94.1
Sick	91.2
Training	85.3
Holiday	79.4
Personal	67.6
Military leave	64.7
Compensatory time	52.9
Injury on duty	52.9
Leave with pay	52.9
Bereavement	44.1
Leave without pay	44.1
Meal and break	23.5
Position vacancy rate	44.1
Positions for training	50.0

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing Analysis.

Physical Factors

The most important physical factors considered when establishing or deleting a security position were the physical design of the unit, sightlines, the location of a control room, and the type of housing (single or double cells, multioccupancy rooms, dormitories). The average rating for each of these factors was greater than or equal to 4.0 (table 4, pages 158–159). On the other hand, it is significant that none of the factors was ranked as being of utmost influence. The physical factors that were considered least important to posting decisions were those associated with activities in the unit: the presence of a computer station, arts and crafts materials, recreation equipment, and rooms for counseling, interviews, or classes.

Management- and Staff-Related Factors

Management- and staff-related factors were considered of minor to moderate importance in posting decisions; the average ratings for these factors were between 2.0 and 3.5. The management factor with the highest rating was the need for security staff with special training (3.5). Also of moderate influence were factors such as the role of the security staff in unit management and the presence and input of the unit's professional staff regarding security staffing needs. In contrast, little consideration appeared to be given to the staffing requirements of private vendors (2.1) or labor contracts (2.0).

Table 4. Ranking of Factors for Establishing and Deleting Security Posts

Security Posting Factor	Average Rating*
Physical factors	
Physical design/configuration (pod, cell block, dormitory) of housing unit	4.4
Sightlines of unit or area (ability to observe all cell fronts, functional space, and dayroom movement)	4.3
Location of a control room that supports the unit (e.g., entry and exit, equipment access, emergency backup, counts, etc.)	4.2
Type of housing (single or double cells, multioccupancy rooms, dormitories)	4.0
Presence of rooms/cells for constant observation of ill or unstable inmates	3.9
Method of locking and unlocking cells (electronic vs. key)	3.8
Showers in cells as opposed to group showers	3.2
If/when cells/rooms are left open or inmate has a key to the cell/room	3.1
Bathrooms in cells/rooms as opposed to group showers	3.1
Capacity and configuration of dayroom space	3.0
Number and functionality of dedicated spaces inside the unit for professional program functions	3.0
Presence of recreation area accessible to and adjacent to the unit	3.0
Efficiency of lighting	3.0
Presence of video surveillance for some or all cells in the unit	2.9
Number of group work/activity rooms in the housing unit/functional space	2.8
Space for administering medication	2.8
Presence of sick call/examining room(s) in the housing unit	2.6
Number of nonsecurity professional staff who must be shared with other facility units	2.6
Presence of alarm buttons in program/service spaces	2.6
Presence of a classroom	2.4
Presence of interview/counseling rooms for two persons	2.2
Presence of recreation equipment on the unit	2.2
Presence of arts and crafts material/equipment/classroom	2.1
Presence of intercom system for communication between staff and prisoners	2.0
Presence of computer capability and space in the unit/other functional space	1.9
Presence of computer learning stations	1.3
Management- and staff-related factors	
Need for security staff with special training	3.5
Ratio of security staff to prisoners	3.3
Commitment of certain types of staff for unit management	3.1
Number of professional staff dedicated to the unit (e.g., medical, mental health, counseling)	3.0
Periods professional/nonsecurity staff work in the unit	3.0
Input from mental health staff	3.0
Input from medical staff	3.0
Cross-gender staffing	2.9
Number and kind of nonsecurity staff working in the unit (e.g., food, commissary, mail workers)	2.8
Issues of concern about gender-specific programming and services	2.7
Staffing requirements negotiated with service providers	2.1
Staffing stipulation(s) in labor contract	2.0

Table 4. Ranking of Factors for Establishing and Deleting Security Posts (continued)

Security Posting Factor	Average Rating*
Activity factors	
Number of prisoners out of their cells/rooms at any one time	4.2
Time and schedule for prisoners to be outside of the housing unit for particular functions, programs, and activities	4.1
Time and schedule for prisoners to be out of their cells/rooms but in the unit for particular functions, programs, and activities	4.0
Where the prisoners eat (in or out of room, dedicated unit dining room, or general facility dining room)	3.8
Special duties such as security supervision of pill lines, treatments, examinations, group therapy	3.7
Inmate population factors	
Custody level of prisoners (e.g., close vs. medium vs. minimum)	4.6
Number of prisoners being supervised	4.4
Mental state of the prisoners in the unit (e.g., psychotic, suicidal, special issues)	4.3
Special duty to constantly watch/observe acutely sick or unstable inmate(s)	4.3
Special duty to regularly escort prisoners to mental health or medical offices	4.2
Direct supervision, indirect supervision, or a combination of both	4.1
Presence of multiple custody levels (e.g., medium and close, medium and minimum)	4.1
Physical condition of the prisoners in the unit (i.e., mobility, conditions of illness)	3.7
Special duty to escort and/or assist disabled prisoners	3.6
Classification of prisoners according to personality type	3.1
Gender of prisoners	2.9

* Respondents were asked to rate on a scale of 0 to 5 the factor's influence on their decision to place a post: 0 = not considered; 1 = very little influence; 2 = small amount of influence; 3 = moderate amount of influence; 4 = significant influence; 5 = utmost influence.

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing Analysis.

Activity Factors

As previously noted, the activity-related physical characteristics of the unit had only minimal influence on posting decisions; however, respondents consistently rated the activities that take place in the unit as having a significant influence on posting decisions. The most influential factors were the number of prisoners out of their cells at any one time (4.2), the time and schedule for the prisoners to be outside the housing unit (4.1), and the time and schedule for prisoners to be out of their cells but in the unit (4.0).

Inmate Population Factors

Given these ratings for inmate activities, it was not surprising to find that the posting decision factor with the highest rating across all categories was the custody level of the prisoners in the unit (4.6). Closely associated with this factor was the number of prisoners in the unit (4.4), the prisoners' mental state (4.3), and special-duty requirements to observe or escort sick or unstable inmates (4.3). The data show that the inmate-related factor given the least consideration in posting decisions was

gender (2.9). These findings are similar to those reported in a survey of staffing practices in state correctional agencies that indicated that the gender of the inmate population was not a significant factor in the posting process.[2] Ninety percent of the correctional agencies in that survey reported using the same staffing analysis process for male and female inmates.

Establishing Posts To Meet Requirements for Units With Special Populations

Survey respondents answered a series of questions about security staff working in units housing special populations. Ninety-four percent of the responding agencies provided their security staff with special training in working with mentally ill prisoners, but only 45 percent provided special training in working with chronically ill prisoners (table 5). Two-thirds of the agencies provided special training in working with female prisoners. The number of hours of both initial and inservice training for security staff working with these populations varied widely. Staff working with mentally ill prisoners received the most training—an average of 16.0 hours initially and 6.6 hours thereafter in annual inservice training. Staff assigned to work in women's units received more initial training than those assigned to units for chronically ill prisoners but received the least amount of specialized annual inservice training (1.9 hours). Most agencies (77 percent) did not exempt these specially trained staff from the facility's rotation schedule. About half of the agencies reported that the medical and mental health units had their own master roster.

Table 5. Security Staff Training for Working With Special Populations

Population	Training Required (%)		Average Hours of Training	
	Yes	No	Initially	Annual Inservice
Mentally ill prisoners	94.1	5.9	16.0	6.6
Chronically ill prisoners	45.2	54.8	4.7	3.4
Female prisoners	65.6	34.4	9.2	1.9

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing Analysis.

Compliance With Standards and Externally Imposed Staffing Requirements

The final section of the security staffing inventory focused on external forces or factors that influence security staffing decisions. Less than 10 percent of the agencies reported that they were operating under a consent decree, court order, and/or memorandum of agreement with regard to staffing patterns and/or levels.[3]

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[2] B.G. Harding, *Staffing Analysis for Women's Prisons and Special Prison Populations,* Special Issues in Corrections (Longmont, CO: U.S. Department of Justice, National Institute of Corrections Information Center, 2002).

[3] Current consent decrees/memoranda of agreement included *Balla* v. *Idaho State Bd. of Corr.,* 595 F. Supp. 1558, 1577 (D. Idaho 1984) and *Stampley* v. *State of Minn. Dep't of Corr. et al.* (1996). *Stampley* was resolved by a memorandum of agreement and the court case was closed on 4/22/1996. See RE: APPOINTMENT OF TRUSTEE FOR GREGORY STAMPLEY, DEC vs. SFE, (Wrongful Death, Washington County-Stillwater, MN, 4/22/1996, Case No. 82-C1-94-002846).

Table 6. Influence of Labor Agreements in Determining Correctional
Staffing Levels

	Affects Staffing Levels (%)	
Type of Staff	Yes	No
Correctional officers	21.2	78.8
Supervisors	18.8	81.3
Program staff	6.7	93.3
Professional staff	3.4	96.6

Source: Data are from the National Institute of Corrections' 2004 inventory on Best Practices in Prison Staffing
Analysis.

Likewise, only 20 percent of the agencies reported a previous consent decree,
court order, and/or memorandum of agreement no longer in force that controlled
staffing patterns and/or levels.

Given the bargaining power of labor unions and the prevalence of union member-
ship among state correctional workers, it is interesting that labor agreements
played a role in determining staffing levels in only about 20 percent of the agen-
cies. As shown in table 6, labor agreements influenced supervisory, program, and
professional staffing decisions for relatively few agencies.

On the other hand, three-quarters of the correctional agencies reported following
standards set by a professional monitoring and accreditation agency such as the
American Correctional Association (ACA), the National Commission on Cor-
rectional Health Care (NCCHC), or the Joint Commission on Accreditation of
Hospitals (JCAH). Of these 25 agencies, 15 reported using ACA's professional
standards. Several agencies reported using multiple sets of professional standards
and/or state standards. The majority of correctional agencies (73.3 percent) re-
ported having written policies and procedures that governed staffing practices.

Findings of the National Inventory on Appropriate Security Staffing for Medical Service Delivery

Administrative Structure

The delivery of medical services in correctional systems varied substantially by
agency and, in many systems, by facility. The data in table 7 (page 162) suggest
that the responding agencies are fairly evenly divided in the format used for deliv-
ery of medical services: some provide their own medical services, others contract
with a private vendor for all services, and others contract with a private vendor
only for some services or for services in some facilities. Most responding agencies
(91 percent) had an administrator at the agency level responsible for managing
service delivery and/or monitoring contracts with private vendors.

Table 7. Medical Delivery Systems in Correctional Agencies

Medical Service Delivery Component	Provider of Service (%)		
	DOC	Contract	DOC and Contract
Medical services are offered in varying levels of care, all of which may not be accessible at every facility.	32.4	29.4	35.3
All facilities offer some access to medical services.	32.4	29.4	38.2
In a facility, services are, in some instances, provided in separate residential medical unit(s).	38.2	9.4	23.5
Services from other agencies, facilities, and entities outside the department are delivered to or accessed by prisoners.	9.4	50.0	17.6

DOC = Department of Corrections

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Medical Service Delivery.

Roles, Expectations, and Levels of Security Staffing for Medical Services

Survey responses suggest that the roles, expectations, and relationships of health services and security staff are complex and, to some extent, evolving. Only 47 percent of the respondents reported that security personnel routinely solicited their input about staffing needs in medical/health service delivery areas. In most of the agencies (85 percent), health services staff did not screen security staff to determine their suitability to work with chronically ill prisoners. However, in 79 percent of the agencies, health services staff provided specialized training for security staff working in their units.

As shown in table 8, health services staff expected security staff to play a variety of roles and carry out multiple responsibilities. The respondents unanimously agreed that security staff were responsible for reporting unusual changes in an inmate's physical condition (100 percent), and nearly all agreed that security staff were responsible for ensuring security during the delivery of medical services inside and outside the housing units (97.1 percent) and for escorting inmates to medical services (94.3 percent). Almost half of the respondents (49 percent) expected security staff to participate in inmate treatment team meetings and to schedule and produce inmates for medical appointments.

The responses to a series of questions about indicators of insufficient security staffing for medical service requirements did not correspond to health services staff's expectations for security staff. As shown in table 9, few correctional agencies cited medical staff complaints about lack of safety (28 percent) and prisoners' consistent lateness for medical appointments (24 percent) as indicators of insufficient security staffing, although table 8 shows that 94 percent cited escorting inmates to medical appointments as a key responsibility of security staff. The indicators of insufficient security staffing cited most frequently were confusion and congestion in the service delivery area (48 percent) and medicines found during housing unit shakedowns (44 percent).

Table 8. Health Service Staff's Expectations of Security Staff

Security Staff Responsibility/Duty	Agree (%)
Report any unusual change in a patient's physical condition	100.0
Report to medical staff all incidents relating to a patient's medical issues	68.6
Participate in patient treatment team meetings	48.6
Schedule and produce patients for all medical appointments and related activities	48.6
Escort patients to medical services	94.3
Manage patients according to protocols as directed by medical staff	57.1
Ensure security during medical service delivery inside housing units	97.1
Ensure security during medical service delivery outside housing units	97.1
Observe prisoners who need special observation according to medical staff instructions and record observations as required	82.9

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Medical Service Delivery.

Table 9. Indicators of Insufficient Security Staffing for Medical Service Requirements

Indicator	Agree (%)
Confusion and congestion in the service delivery area/clinic	48
Poor state of cleanliness in medical housing units	12
Prisoners consistently late for medical appointments at the clinic	24
Security slow to respond to incident(s) with patients in the treatment area	36
Security slow to respond to incident(s) with patients in the housing units	32
Medicines found during shakedowns of housing units	44
Numerous medical staff complaints/grievances regarding the lack of safety	28

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Medical Service Delivery.

All of the medical service respondents (100 percent) said that they inform security staffing administrators when they observe conditions indicating insufficient security staffing. Although 71 percent of the agencies reported conducting periodic reviews of security staffing levels in medical units or service areas, medical service staff participated in these reviews in only 31 percent of the agencies. In contrast, in about half of the agencies, medical staff participated in the initial process for determining the number, types, and roles of security staff in medical services. Only 40 percent of the agencies had a specific method for determining the number of security staff needed to support medical/health service functions.[4]

Decisionmaking in Establishing a Security Post in a Medical Unit

To ascertain what factors play a significant role in security post planning, the agencies were asked to rate factors related to the characteristics of the inmate patient population, physical plant characteristics and technologies, points of service and access to service, and staff and safety. Medical staff rated each factor on a scale of 0 to 5, where 0 is "not important" and 5 is "of utmost importance."

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[4] In *Staffing Analysis for Women's Prisons and Special Prison Populations* (Longmont, CO: U.S. Department of Justice, National Institute of Corrections Information Center, 2002), Harding reported that 69 percent of the correctional agencies used the same staffing analysis method for medical units as for male general population units.

Characteristics of the Inmate Patient Population

Like security staffing administrators (see table 4), medical professionals (table 10) rated custody level as the inmate patient characteristic most important in posting decisions (security staff, 4.6; medical professionals, 4.2). Medical staff assigned a lower rating (2.6) to gender than did security staff (2.9). When asked if the number of security staff varied according to the profile of the population on a given day, 56 percent of the medical staff responded yes. This suggests that the inmate profile—level of custody (i.e., maximum, medium, and/or minimum custody prisoners) and whether an escort is required for the prisoner to come to the unit—as well as the number of hours per day the unit is open are key factors in determining security staffing levels for medical services.

Physical Plant Characteristics and Technologies

The physical plant characteristics and technologies that were most important to medical staff in posting decisions were the type of housing for the medical unit (i.e., single or double cells, multioccupancy rooms, or dormitories) (4.2); the presence of observation cells (3.9); and the presence of video surveillance for some or all of the cells in the unit (3.7) (table 10).

Points of Service and Access to Services

The factors associated with points of service and the inmates' access to services were of greater importance to medical staff than factors related to physical plant and technology. The most important factors were whether the medical clinic/infirmary was open around the clock (4.4) and whether it was open during the day (4.3), whether inmates were escorted to appointments or treatments (4.1), and whether the medical staff had to go to a common area or housing unit to provide services (3.8) (table 10).

Staff and Safety

The final set of factors influencing security staff posting decisions was associated with staff and safety. Medical staff valued specialized training for security staff (3.9) and medical workers (3.8) and security staff's availability for supervising specific tasks (e.g., pill lines, examinations, and therapy) (4.2) (table 10). Medical staff from 78 percent of the agencies reported that security staff received special training for working in health services units. However, less than 5 percent of the agencies exempted specially trained staff from the facility rotation schedule.

Externally Imposed Staffing Requirements for Medical Units

Less than 12 percent of the agencies reported that they were operating under a consent decree, court order, and/or memorandum of agreement with regard to their medical services and staffing patterns and levels. These cases focused on the number and type of medical professionals available, quality assurance associated with specific chronic diseases and disabilities, staffing ratios, the availability of

Table 10. Importance of Security Posting Factors Among Medical Professionals

Security Posting Factor	Average Rating*
Characteristics of the inmate patient population	
Gender	2.6
Patients who have conditions that require assistance in moving	2.9
Patients who require medications at regular intervals of time	2.9
Patients who require escort in the unit (e.g., to bathroom)	3.0
Custody level (i.e., maximum/medium/minimum)	4.2
Physical plant characteristics and technologies	
Body or other alarms for all staff involved	3.0
Intercom for communication between staff and prisoners	3.0
Equipment/space for administering medications	3.2
One-to-one examining rooms in housing units	3.2
Video surveillance for some or all cells in the unit	3.7
Special observation cells	3.9
Medical housing: single or double cells, multioccupancy rooms, or dormitories	4.2
Points of service and access to services	
Medical treatment provided in medical spaces in housing unit(s)	3.1
Medications administered in the clinic	3.3
Separate, dedicated medical treatment housing unit where services are delivered	3.4
Triage/sick call conducted in the housing unit or outside the unit	3.5
Patients go unescorted to medical clinics and treatment programs	3.5
Departmental medical services are available in other institutions to which prisoners can be transferred if they require additional services	3.7
Specially configured and equipped medical residential units for delivery of many medical services	3.7
Medications administered at a common location in or near housing units	3.8
Patients escorted/transported by security staff to the facility's onsite clinic(s) for appointments and treatment	4.1
Medical offices/clinics located in the facility open during the day	4.3
Medical clinic/infirmary open 24 hours per day	4.4
Staff and safety	
Security staff who work in medical areas are specially trained to work with chronically ill patients	3.9
Medical workers are trained in security to enhance their ability to function safely in a prison environment	3.8
Number of professional staff dedicated to the unit	3.5
Time and schedule of when prisoners are out of their cells/rooms but in the unit	3.4
Time and schedule of when prisoners are outside the housing unit	3.7
Special duties such as security supervision of pill lines, examinations, and therapy	4.2

*Respondents were asked to rate on a scale of 0 to 5 the factors' influence on their decision to place a post: 0 = not important; 1 = of very little importance; 2 = of some importance; 3 = moderately important; 4 = significantly important; and 5 = of utmost importance.

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Medical Service Delivery.

specialized equipment, and access to specialists.[5] About one-quarter of the agencies reported having labored under a previous consent decree, court order, and/or memorandum of agreement that controlled staffing patterns and/or levels in medical units. As was observed in the inventory of security staffing in general population units, labor agreements affected security staffing levels in medical units in only about 25 percent of the agencies (table 11).

Table 11. Influence of Labor Agreements in Determining Staffing Levels for Correctional Medical Units

| Type of Staff | Affects Staffing Levels (%) | |
	Yes	No
Correctional officers	25.7	74.3
Correctional supervisors	20.6	79.4
Program staff	14.7	85.3
Professional staff	12.1	87.9

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Medical Service Delivery.

Standards set by professional monitoring and accreditation agencies constitute another external factor that significantly affects the delivery of health services in correctional facilities. Of the responding agencies, 88.6 percent cited this factor as influential. Inventory respondents identified the standards set by the following entities as influencing their staffing decisions: ACA (66 percent), NCCHC (34 percent), JCAH (6 percent), state agencies (3 percent), and National Institute of Corrections Health Care (NICHC) (3 percent). In addition to these professional standards, 56 percent of the agencies had written policies and procedures governing staffing practices in medical units.

Findings of the National Inventory on Appropriate Security Staffing for Mental Health Service Delivery

Administrative Structure

As with the delivery of medical services in correctional systems, the format for delivery of mental health services varied substantially by agency and, in many systems, by facility (table 12). About half of the agencies provide their own mental health services rather than contract with a private vendor for all services, some services, or services within specific facilities. To oversee these complex systems, most of the responding agencies (85 percent) had an administrator at the agency level responsible for managing the delivery of services and/or monitoring any contracts with private vendors.

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[5] Current medical staffing-related cases included *Everett Hadix et al.* v. *Perry Johnson et al.,* No. 80-73581 (E.D. Mich.), Hines Consent Decrees/Stampley Agreement (MN) (RE: APPOINTMENT OF TRUSTEE FOR GREGORY STAMPLEY, DEC vs. SFE, (Wrongful Death, Washington County-Stillwater, MN, 4/22/1996, Case No. 82-C1-94-002846).

Table 12. Mental Health Service Delivery Systems Among Correctional Agencies

Mental Health Service Delivery Component	Provider of Service (%)		
	DOC	Contract	DOC and Contract
Mental health services are offered in varying levels of care, all of which may not be accessible at every facility.	47.1	20.6	32.4
All facilities offer some access to mental health services.	56.3	18.8	25.0
DOC operates some facilities exclusively as mental health facilities.	55.6	33.3	11.1
Services in a facility are, in some instances, provided in separate residential mental health unit(s).	52.9	23.5	23.5
Services provided by agencies, facilities, and entities outside the DOC are delivered to or accessed by prisoners.	39.1	47.8	13.0
Step-down programs are offered as patients need less intensive services.	70.4	14.8	14.8

DOC = Department of Corrections

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Mental Health Service Delivery.

Mental Health Service Delivery and Security Staff Roles

In the majority of responding agencies (91 percent), mental health staff did not screen security staff for their suitability to work with mentally ill prisoners. However, in most of these agencies (88 percent), mental health staff provided training for security staff assigned to work with mentally ill inmates. This training was incorporated in both preservice training at the academy and inservice training. Training topics included recognition of mental illness and depression, crisis intervention, suicide prevention and intervention, and the like.

As shown in table 13 (page 168), mental health staff expected security staff to play a variety of roles and carry out multiple responsibilities. Respondents unanimously agreed that security staff were responsible for reporting unusual changes in an inmate's mental condition (100 percent), and nearly all agreed that security staff were responsible for reporting any incidents to mental health staff (86.1 percent) and escorting inmates to medical and mental health services (91.7 percent). The majority of mental health respondents expected security staff to participate in treatment meetings (86.1 percent) and manage inmates according to protocols as directed by medical staff (75.0 percent). Fifty-six percent expected security staff to schedule and ensure inmates' timely arrival for mental health appointments and related activities.

When asked to cite indicators of insufficient levels of security staff in a mental health unit, mental health respondents identified numerous complaints and grievances by mental health staff about lack of safety (40.0 percent) and the discovery of medications in the housing units during shakedowns (43.3 percent) (table 14).

Table 13. Expectations for Security Staff Within Mental Health Units

Security Staff Responsibility/Duty	Agree (%)
Reporting any unusual change in a patient's mental condition.	100.0
Reporting to medical staff all incidents relating to a patient's mental health issues.	86.1
Participating in patient treatment team meetings.	86.1
Scheduling and producing patients for all mental health appointments and related activities.	55.6
Escorting patients to medical and mental health services.	91.7
Managing patients according to protocols as directed by medical health staff.	75.0
Ensuring security during delivery of mental health services inside housing units.	97.2
Ensuring security during delivery of mental health services outside housing units.	88.9
Observing prisoners who need special observation according to instructions of mental health staff and recording observations as required.	94.4

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Mental Health Service Delivery.

Another important indicator of the need for additional security staff was a slow response time to incidents in the housing units and treatment areas (36.7 percent). In contrast to the respondents to the medical inventory, 100 percent of whom indicated they always report experiences of insufficient security staff to security staff authorities, only 93 percent of the mental health respondents indicated that they routinely reported staffing shortages. Less than half of the mental health respondents (45.2 percent) indicated that security personnel routinely solicited their input about staffing needs in mental health service delivery areas.

Table 14. Conditions Mental Health Administrators View as Indicators of Insufficient Security Staffing for Mental Health Service Delivery Requirements

Condition	Indicator of Insufficient Staffing (%)
Service delivery area/clinic is confusing and congested.	33.3
Housing units are in a poor state of cleanliness.	23.3
Prisoners are consistently late for mental health appointments at the clinic.	33.3
Security is slow to respond to incident(s) involving patients in the treatment area.	36.7
Security is slow to respond to incident(s) involving patients in the housing units.	36.7
Medicines are found during shakedowns of housing units.	43.3
Mental health staff's complaints/grievances regarding the lack of safety are numerous.	40.0
Security staff frequently use force in mental health housing areas.	26.7

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Mental Health Service Delivery.

As observed in the responses from medical services units, less than half of the correctional agencies (43.8 percent) had a specific method for determining the number of security staff to support mental health functions. Most agencies did have a formal procedure to determine the number, types, and roles of security staffing (75 percent); yet only 47 percent of mental health staff reported participating in this process. Similarly, most of the responding agencies (72 percent) had formal procedures for periodically reviewing the security staffing needs of mental health units and service areas. However, mental health staff participated in these reviews in slightly more than one-quarter of the agencies (28.1 percent).

Decisionmaking in Establishing a Security Post in a Mental Health Unit

To ascertain what factors mental health professionals consider to be important in determining security staffing needs, the inventory asked them to rate the following factors: the characteristics of the inmate patient population, physical plant characteristics and technologies, points of service and access to services, and staff and safety. The rating scale was the same used in the inventory of medical staffing administrators, where 0 is "not important" and 5 is "of utmost importance."

Characteristics of the Inmate Patient Population

Like the security staffing administrators and medical professionals who responded to the survey, the mental health professionals considered the custody level of inmate patients to be very important in determining security staffing needs, giving this factor an average rating of 4.4 (table 15, page 170). However, they considered the presence of inmates who pose a threat to themselves or others to be the most important security factor, with a rating of 4.5. Another important population characteristic was the presence of inmates with histories of disruptive behavior or psychotic episodes (4.1). As observed in the responses of security staff and medical administrators, mental health respondents considered the gender of the inmate population to be of small to moderate importance (2.5).

Physical Plant Characteristics and Technologies

Among mental health professionals, the presence of special observation cells was the most important security factor related to the physical plant characteristics and technology of the unit or mental health service delivery area (4.2). They considered the presence of equipment/space to administer medications (3.5), video surveillance (3.6), and treatment/activity rooms in the units (3.7) to be of moderate importance in determining security staffing needs.

Points of Service and Access to Services

As was the case with the inventory of medical professionals, the hours of service in the unit and whether security staff were required to escort inmates to treatment and appointments were the factors of greatest importance to mental health professionals in determining security staffing needs, both receiving an average rank of

Table 15. Importance of Security Posting Factors Among Mental Health Professionals

Security Posting Factor	Average Rating*
Characteristics of the inmate patient population	
Gender	2.5
Patients who require medications at regular intervals of time	3.0
Patients who require escort in the unit (e.g., to bathroom)	3.4
Patients who have histories of disruptive or psychotic episodes	4.1
Custody level (i.e., maximum/medium/minimum)	4.4
Patients who are a threat to themselves (i.e., suicidal) or others	4.5
Physical plant characteristics and technologies	
Intercom for communication between staff and prisoners	2.6
Body or other alarms for all staff involved	3.1
Equipment/space for administering medications	3.5
Video surveillance for some or all cells in the unit	3.6
Treatment/activity rooms in the housing units	3.7
Special observation cells	4.2
Mental health points of service and access to services	
Entire facility is a mental health facility	2.7
Patients go unescorted to mental health clinics and treatment programs	3.2
Departmental mental health services are available in other facilities to which prisoners can be transferred if they require additional services	3.3
Medications are administered in the clinic	3.3
Medications are administered from a common location in/near housing units	3.5
Mental health staff provide treatment in offices/rooms in housing unit(s)	3.6
Mental health staff triage prisoners with complaints in housing units	3.6
Separate, dedicated mental health treatment housing unit where services are delivered	3.7
Specially configured and equipped mental health residential units for delivering most mental health services	3.8
Mental health offices/clinics in the facility are open during the day	4.0
Medical clinic/infirmary is open 24 hours per day	4.0
Patients are escorted/transported by security staff to the facility's onsite clinic(s) for appointments and treatment	4.0
Staff and safety	
Time and schedule of when prisoners are out of their cells/rooms but in the unit	3.5
Whether security staff who work in the mental health areas are specially trained to work with mentally ill patients	3.8
Whether mental health workers are trained in security to enhance their ability to function safely in a prison environment	3.8
Number of professional staff dedicated to the unit	3.8
Time and schedule of when prisoners are outside the housing unit	3.8
Special duties such as security supervision of pill lines, examinations, therapy	3.9

*Respondents were asked to rate on a scale of 0 to 5 the factors' influence on their decision to place a post: 0 = not important; 1 = of very little importance; 2 = of some importance; 3 = moderately important; 4 = significantly important; and 5 = of utmost importance.

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Mental Health Service Delivery.

4.0. Factors rated of moderate to significant importance included whether mental health professionals provide treatment (3.6) or triage inmates with complaints in housing units (3.6), whether the unit is a dedicated mental health residential unit (3.7), and whether that residential unit is specially configured and equipped for delivering most mental health services (3.8).

Staff and Safety

Mental health respondents gave all of the staff and safety factors ratings of moderate to significant importance. The presence of security staff to supervise pill lines, examinations, and/or therapy received the highest rating (3.9). As had been indicated by the medical professionals, special training for security staff working with mentally ill inmates, safety training for mental health workers, and the time and schedule for prisoners to be outside the housing unit were considered important factors (3.8). Mental health professionals also cited the number of professional staff dedicated to the unit as an influential factor in determining security staffing needs (3.8).

Given these ratings, it is interesting to note that 81 percent of the mental health respondents reported that security staff working in mental health units in their agencies received specialized training to work with mentally ill prisoners. However, in most agencies (89 percent), assignment to a mental health unit did not exempt these specially trained officers from the facility's rotation schedule.

Externally Imposed Staffing Requirements for Mental Health Units

Relatively few of the correctional agencies (14.7 percent) that responded to the mental health inventory were operating under a consent decree, court order, and/ or memorandum of agreement with regard to mental health unit functions/services and staffing patterns/levels.[6] However, in nearly 40 percent of the agencies (37.5 percent), there was a previous consent decree, court order, and/or memorandum of agreement that controlled staffing patterns and/or levels in mental health units.

In contrast to what was reported for general population and medical services units, labor agreements had an impact on security staffing levels in mental health units in only about 15 percent of the agencies (table 16, page 172). Staffing decisions about correctional supervisors, program staff, and professional staff were affected by labor agreements in even fewer agencies (9.1 percent, 3 percent, and 3 percent, respectively).

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[6] Current consent decrees/memoranda of agreement included Hines Consent Decree and Stampley Agreement, D.M. Terhune, 67 F. Supp. 2d. 401 (D.N.J., 1999), and NY State Office of Mental Health and NY State Department of Correctional Services Memorandum of Understanding (July 21, 1999). Previous court cases/agreements related to mental health included *Casey* v. *Lewis,* 834 F. Supp. 1553 (D. Ariz. 1992); *Ramos* v. *Lamm,* 639 F.2d 559, 575 (10th Cir. 1980), 450 U.S. 1041, 99 S.Ct. 1861 (1981); *Costello* v. *Wainwright,* 430 U.S. 325 (1977); *U.S.A.* v. *State of Michigan,* No. G84/63CA; *Everett Hadix et al.* v. *Perry Johnson et al.,* No. 80-73581 (E.D. Mich.); NY State Office of Mental Health Memorandum of Understanding (expired agreements); *Dunn* v. *Voinovich,* C1-93-0166 (S.D. Ohio, July 10, 1995); and *Tillery* v. *Owens,* 719 F.Supp. 1256 (w.d. Pa. 1989).

Table 16. Influence of Labor Agreements on Security Staffing for Mental Health Units

Type of Staff	Affects Staffing Level (%)
Correctional officers	14.7
Correctional supervisors	9.1
Program staff	3.0
Professional staff	3.0

Source: Data are from the National Institute of Corrections' 2004 inventory on Appropriate Security Staffing for Mental Health Service Delivery.

Like the inventory respondents representing general population and medical units, the respondents to the mental health inventory reported that standards set by professional agencies influenced their decisions. Most (91 percent) indicated that their agencies followed mental health standards set by ACA (59 percent), NCCHC (35 percent), JCAH (12 percent), state agencies (15 percent), and the American Group Psychotherapy Association (3 percent). About one-third of the agencies (29 percent) reported that they follow multiple sets of professional standards. In addition to these professional standards, 41 percent had written policies and procedures governing staffing practices in mental health units.

Findings of the National Inventory on Staffing for Women's Correctional Institutions

Administrative Structure

The final questionnaire of the national inventory of security staffing practices in prisons was to be completed by the person most knowledgeable about staffing practices in women's facilities. Women represent a small proportion of the states' inmate population. However, given the unique needs—physiological, psychological, and emotional—of female offenders, it was somewhat surprising to learn that about 20 percent of the responding correctional agencies did not have a position at the agency level dedicated to the management of women's facilities, services, and programs. Almost all (91.7 percent) of the agencies that completed the inventory had at least one facility exclusively for women. However, 40 percent of the agencies reported having one or more coed facilities. Most agencies (97.2 percent) permitted cross-gender supervision of women. The percentage of male staff in women's facilities ranged from 2 to 79 percent; the percentage of male staff supervising women was 45 percent.

Staffing Analysis for Women's Facilities

The inventory asked a series of questions about the process the agency used to determine security staffing needs in its facilities. Nearly all the responding agencies (91.4 percent) had a departmental staffing analysis process (table 17), but only a

Table 17. Security Staffing Process in Women's Correctional Facilities

Question	Agencies Responding Yes (%)
Is there a departmentwide staffing analysis process used in your agency?	91.4
If yes, is there a periodic review of the security post plans designed specifically for women's facilities and different from the review conducted for male facilities?	11.8
Are female-specific method(s) used to determine the number of security staff required to support women's facilities?	16.7
Are female-specific criteria used for establishing, adding, and/or deleting posts in women's facilities?	20.0
Is a particular position/person tasked with conducting staffing processes specifically designed for women's facilities?	5.7
Is there a security position/person who makes decisions to establish, add, and/or delete security posts and positions based on special needs of women offenders?	20.0
Is there a medical position/person who makes decisions to establish, add, and/or delete medical posts and positions based on special needs of women offenders?	34.3
Is there a mental health position/person who makes decisions to establish, add, and/or delete mental health posts and positions based on special needs of women offenders?	34.3
Is there a program position/person who makes decisions to establish, add, and/or delete program posts and positions based on special needs of women offenders?	28.6
Is there a process by which disciplines collaborate to determine numbers and types of staff required for women's housing, programming, medical, and mental health services?	51.4
Is a shift relief factor specific to women's facilities used to calculate the number of positions needed for women offenders?	13.9
Are there special policy provisions for cross-gender staffing/posting?	59.4
Is there a required ratio of officers to women offenders?	17.1
Are staffing levels higher when most of the security staff are women?	5.9
Are staffing levels higher when most of the security staff are male?	11.8

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

small percentage had a specific method for determining the number of security staff for women's facilities (16.7 percent) or used women-specific criteria for establishing, adding, and/or deleting posts in women's facilities (20 percent). Half of the agencies used a collaborative process in which multiple disciplines determined the number and types of staff required for women's housing, programming, and medical and mental health services.

Although the majority of the agencies (59.4 percent) had special provisions in their policies for cross-gender staffing and/or posts, less than 20 percent had requirements that specified the ratio of male officers to female inmates. Most agencies (90 percent) indicated that the ratio of male to female correctional officers had no impact on staffing levels. Only 6 percent of the agencies said that staffing levels in women's facilities were higher if most of the security staff were female. In contrast, 12 percent indicated that if most of the security staff in a women's facility were male, staffing levels were higher.

Role of Special Needs and Cross-Gender Supervision When Staffing Women's Facilities

The inventory asked respondents to consider a list of common needs of female inmates and indicate if, in their experience, these factors affected the need for security, medical, mental health, and/or program staff in a correctional facility for women. Respondents were unanimous in the opinion that women who have experienced physical, sexual, and/or emotional abuse suffer from trauma, depression, anxiety, and other mental health disorders (100 percent) (table 18). They agreed that pregnant women require prenatal care (100 percent), that women offenders require more staff time and attention than male offenders (97.2 percent), and that women require more social services associated with child care, family contacts, etc. (97.2 percent).

Table 18. Views on the Special Needs of Female Inmates and Whether These Needs Affect Staffing Levels

Statement Regarding Special Need	Agree (%)	Type of Additional Staff Needed in Women's Institutions Due to Special Needs (%)			
		Security	Medical	Mental Health	Program
Pregnant women need prenatal care.	100.0	19.4	66.7	22.2	22.2
Most women require more time and attention from staff than men.	97.2	22.2	66.7	72.2	50.0
Physically, sexually, and/or emotionally abused women frequently suffer from more trauma, depression, anxiety, and other mental health disorders that require special treatment.	100.0	19.4	47.2	83.3	58.3
Women have needs that require more social work services than men (e.g., family contacts, childcare).	97.2	13.9	11.1	22.2	58.3
Women have more and different needs for hygiene and grooming space and equipment than men.	94.4	25.0	2.8	2.8	16.7
Women require more trips to special medical clinics than men.	91.7	47.2	58.3	11.1	2.8
Women require special programs in parenting, battering and abuse, legal recourse, etc.	88.9	8.3	8.3	27.8	66.7
Women have higher rates of somatic illnesses than men.	86.1	13.9	55.6	36.1	16.7
Pregnant women need transport procedures different from those for men.	86.1	41.7	25.0	5.6	2.8
Women require more use of medications than men.	83.3	5.6	66.7	33.3	8.3
Some pregnant women require 24-hour nursing services before delivery.	83.3	25.0	55.6	13.9	2.8
Women need to visit with their children more often and/or for longer periods.	80.6	36.1	5.6	19.4	36.1
Women have more venereal and pelvic disorders than men.	77.8	2.8	61.1	8.3	8.3
Women are frequently not separated by classification. Women require separate housing units according to security risks and needs.	72.2	25.0	41.7	47.2	30.6
Women's medical issues require medical coverage 24 hours per day.	69.4	22.2	44.4	19.4	5.6
Some women want their children to visit and/or live in their housing units.	69.4	25.0	16.7	13.9	22.2
Women need to have their babies with them after delivery.	55.6	22.2	16.7	5.6	13.9
Women are more likely than men to have serious substance abuse issues and to require more intensive treatment.	50.0	5.6	11.1	13.9	27.8
More women than men prefer private living quarters.	44.4	13.9	0.0	0.0	0.0
Pregnant women need special quarters and accommodations during the latter part of pregnancy.	38.9	22.2	30.6	11.1	8.3

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

The only special needs identified as affecting security staffing levels in women's units or facilities were those associated with transporting women to special clinics or to hospitals for treatment. However, many of female inmates' special needs were seen as having a substantial impact on staffing levels for medical, mental health, and program staff. The respondents indicated that medical staffing levels were affected by women's need for prenatal care (66.7 percent), greater staff time and attention (66.7 percent), trips to special medical clinics (58.3 percent), treatment for somatic illnesses (55.6 percent), 24-hour nursing services before delivery (55.6 percent), and treatment for venereal and pelvic disorders (61.1 percent). Mental health staffing levels were seen to be affected by women's needs associated with trauma and abuse (83.3 percent) and their overall need for greater staff time and attention (72.2 percent). Program staffing levels were also perceived to be affected by women's needs associated with trauma and abuse (58.3 percent) and their overall need for greater staff time and attention (50.0 percent), and also by their needs for social services associated with child care and family contacts (58.3 percent) and for special programs on parenting, battering and abuse, and legal recourse (66.7 percent).

Cross-gender supervision is an important consideration in staffing women's facilities. Respondents were asked to review factors that might affect staffing policies, to agree or disagree that they were issues, and to indicate if a factor warranted special personality screening for prospective male officers, special training for them, and/or same-gender post designations in a women's facility. As shown in table 19 (page 176), most respondents agreed with the following statements:

- Women's needs and behavior differ significantly from those of males (94.4 percent).

- Women prefer to be pat-searched by staff of the same gender (88.9 percent).

- Women behave differently toward male staff (83.3 percent).

- Women require less aggressive supervision (80.6 percent) than do men.

- Women are afraid that men will physically and emotionally abuse them (80.6 percent).

- Many women need positive male role models (80.6 percent).

However, for most respondents, these factors did not warrant screening male candidates by gender, personality, or attitude before hiring or assigning them to work with female inmates. They indicated, however, that cross-gender factors do warrant special training for staff, notably with regard to women's general needs and institutional behaviors, search requirements for women, effective communication with women, women's need for trust, and women's need for positive male role models.

Table 19. Cross-Gender Supervision Needs for Women Offenders

Cross-Gender Supervision Factor	Agree (%)	Accommodation Warranted by Factor (%)		
		Screening for Personality Characteristics	Special Training for Staff	Same Sex Staff
Generally, women's needs and behavior differ significantly from those of men.	94.4	36.1	86.1	16.7
Generally, women have more need not to be touched by the opposite sex in vulnerable areas than do men. They prefer to be pat-searched by staff of the same sex.	88.9	8.3	61.1	61.1
Generally, there are topics that women prefer not to discuss with men.	88.9	11.1	63.9	36.1
Women behave differently and sometimes sexually forward toward male staff.	83.3	30.6	80.6	2.8
Women need and require less aggressive (nonaggressive) supervision than men.	80.6	5.6	55.6	2.8
Women are afraid of being physically and emotionally abused by men.	80.6	27.8	61.1	11.1
Because of a history of prostitution, many women offenders desperately need positive male role models.	80.6	16.7	66.7	2.8
Generally, women offenders have higher needs for female nurturing than men.	77.8	5.6	41.7	13.9
Generally, women have a greater need not to be seen by the opposite sex in vulnerable situations than do men.	58.3	5.6	41.7	27.8
Hospitalized women are uncomfortable with male officers supervising them.	44.4	2.8	30.6	22.2
Because there is a correctional history of women offenders having been sexually abused by male staff, women are afraid of male staff.	22.2	11.1	41.7	2.8

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

Security Staffing in Women's Facilities: Roles, Expectations, and Levels

The roles and expectations for security staff in women's facilities are varied. Respondents were asked what duties, if any, increase the need for additional security staff in women's facilities. The duties cited were related to the special behavioral and emotional needs of women offenders rather than traditional "security-related" issues. Three of the four most frequently cited roles/responsibilities that might increase staffing needs were monitoring women's health, pregnancy, or mental stability (61.1 percent), listening to their complaints and problems (58.3 percent), and counseling those who are upset and/or out of control (52.8 percent) (table 20). Traditional security-related tasks, such as escorting, searching, and supervising the women, were not cited as having a substantial impact on staffing levels.

The next series of questions focused on indicators of insufficient or gender-inappropriate security staffing in a women's unit/facility. As shown in table 21, there appeared to be some consensus that documented complaints from medical, mental health, or program staff or an increase in the number of fights among

Table 20. Responsibilities/Duties That Potentially Increase Staffing Levels in Women's Facilities

Responsibility/Duty	Agencies Responding Yes (%)
Closely monitoring mentally ill, chronically ill, and pregnant prisoners and documenting changes as directed.	61.1
Spending extra time listening to prisoners' problems and complaints.	58.3
Calling and waiting for female officers to perform strip and/or pat searches of women prisoners.	55.6
Counseling prisoners who are out of control for longer periods of time than would be allowed for males.	52.8
Spending more time dressing out and transporting prisoners to appointments.	44.4
Reporting and/or documenting any unusual/significant change in an inmate's emotional condition.	41.7
Observing pregnant women according to medical staff instructions and documenting observations as required.	41.7
Supervising housing units in which children are present.	41.7
Opening special grooming facilities and supervising them during more hours of the day than in male facilities.	36.1
Spending more time supervising the cleaning and monitoring of property than in male facilities.	22.2
Distributing female-specific supplies.	19.4
Using force with female prisoners according to special female-specific protocols.	13.9

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

inmates were important indicators of insufficient security staffing levels. However, there was little consensus about indicators of problematic male-to-female staff ratios. The only potential indicator of gender-inappropriate security staffing cited by respondents was the reporting of sexual misconduct between staff and inmates; even so, only 27.8 percent of the respondents agreed that sexual misconduct was such an indicator. Additional research in this area appears to be needed to guide staffing deliberations.

Table 21. Conditions Administrators View as Indicators of Insufficient or Gender-Inappropriate Security Staffing

Indicator	Agencies Responding Yes (%)	
	Insufficient	Gender Inappropriate
Documented concerns about quality of supervision by medical staff	58.3	2.8
Increase in the number of fights among the prisoners	55.6	0.0
Documented concerns about quality of supervision by mental health staff	55.6	2.8
Documented concerns about quality of supervision by program staff	50.0	0.0
Lack of cleanliness in the housing unit	44.4	0.0
Observable bruises and marks on prisoners	44.4	13.9
Reports of sexual misconduct between staff and prisoners	36.1	27.8
Grievances against staff for abusive behavior	30.6	19.4
Dramatic increase in sick call	27.8	11.1
Complaints by pregnant prisoners	5.6	13.9

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

Externally Imposed Staffing Requirements for Women's Facilities

Less than 10 percent of the agencies (8.3 percent) reported that they were operating under a consent decree, court order, and/or memorandum of agreement with regard to their women's facilities' staffing patterns and/or levels. These cases focused on staffing levels for mental health professionals and cross-gender supervision (availability of female correctional officers in women's housing units).[7] Only about 15 percent of the agencies (14.3 percent) reported a previous consent decree, court order, and/or memorandum of agreement that controlled staffing patterns and/or levels in their women's facilities. These cases focused in part on crowding, availability of work/program space, and separation of inmates by custody level.

As was observed in the inventories on the general population and medical and mental health units, labor agreements affected security staffing levels for women's facilities in only about 11 percent of the responding agencies (table 22). Table 22 suggests that labor agreements play an even smaller role in determining staffing levels for program and professional staff.

Table 22. Influence of Labor Agreements in Determining Staffing Levels for Women's Facilities

Type of Staff	Affects Staffing Levels (%)	
	Yes	No
Correctional officers	11.1	88.9
Program staff	5.7	94.3
Professional staff	5.9	94.1

Source: Data are from the National Institute of Corrections' 2004 inventory on Staffing for Women's Correctional Institutions.

In contrast to the data reported for general population and medical and mental health units, only two-thirds of the responding agencies adhered to ACA standards regulating the management and care of female inmates. Only 27 percent of the agencies had written policies and procedures that govern staffing practices for women's facilities. This figure may be somewhat misleading because respondents also indicated that staffing practices for women's facilities were governed by the same policies and procedures governing male facilities. As previously noted, about 75 percent of the agencies had written policies and procedures that govern practices in their facilities.

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[7] The cases included *West* v. *Manson,* Civil No.: H-83-366 (RNC) (HBF) (ongoing enforcement work regarding consent judgment at Connecticut's women's prison); D.M. Terhune, 67 F. Supp. 2d. 401 (D.N.J., 1999); and *Forts* v. *Ward,* 79 Civ 1560 (SD N.Y.).

> **Best Practices in Prison Staffing Analysis Inventory**
>
> **U. S. Department of Justice, National Institute of Corrections**

Please fax the completed inventory to Judy Bisbee at 860-704-6420, or send by mail to Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457 by: **Friday, January 9, 2004.**

Inventory Completed By:

Name   _____   Title   _____

Agency   _____

Phone   _____   Fax   _____

Email   _____

Who should complete this inventory? The individual in charge of security staff deployment. If no one individual is responsible for security staff deployment in your agency, please assign the task to the person most knowledgeable about your agency's staffing procedures and practices.

Purpose of the Security Staffing Inventory. The purpose of this inventory is to collect information from state departments of corrections that will contribute significantly to the development of a National Institute of Corrections manual for training staff to conduct prison security staffing analyses. Three other inventories are also being distributed to collect information on the staffing needs in women's prisons as well as in facilities or units housing mentally ill and chronically ill inmates. This information will contribute to recommendations on how to tailor post plans to meet the needs of special populations: women, mental health patients and chronically ill patients. Best practices, policies and procedures among jurisdictions for conducting staffing analyses as well as practices for developing specialized post plans for special population units are requested for review and possible inclusion in the manual.

<u>**Definitions of Key Terms**</u>: Please see Page 8 for a glossary of terms.

- -

MANAGING THE STAFFING COMPLEMENT

1. Does your agency have a designated position responsible for the management of staffing?
    _____ (Yes/No)

2. Does your agency require a periodic analysis of security staffing levels?
    _____ (Yes/No)

3. How frequently does your agency conduct a <u>staffing analysis</u> for: *(Please circle)*

a.	Security staff	Annual	Every 2 years	As needed	Not Required	Other: _____
b.	Non-security	Annual	Every 2 years	As needed	Not Required	Other: _____
c.	Professional	Annual	Every 2 years	As needed	Not Required	Other: _____

    d. What reasons might prompt an unscheduled staffing analysis (i.e. excessive overtime use)?
    _____
    _____

4. As part of your <u>staffing analysis</u> process, which of the following procedures are included? (Please check all that apply)

    a. Re-calculation of a shift relief factor or NAWH based on leave policies   ____

    b. Study of time and attendance to determine average use of leave   ____

    c. Review of the operation of posts on a shift-by-shift basis   ____

    d. Formal add-and-delete procedure which includes justifications for modifications
    and is reviewed by higher authorities   ____

e. Review of daily rosters   ____
f. Review of the master roster   ____
g. Re-calculation of required FTE   ____
h. Review of existing scheduling patterns to determine the most economical   ____
i. Review of procedures and practices for weekly and monthly assignments by shift   ____
j. Review of the staffing complement by priority (i.e. critical, essential, optional)   ____
k. Standardized report that summarizes the activities and decisions associated
    with staffing   ____
l. Generation of a written report to summarize the methodology, findings and
    recommendations resulting from the staffing analysis   ____
m. Other: _____
n. Other: _____
o. Other: _____

5. What formula does your agency use to calculate the number of FTE's required for security staff?
_____
_____

6. Are interim reviews of any of the components a staffing analysis completed between regularly
scheduled staffing analyses?
_____
_____

7. When computing the number of security FTE positions needed for your correctional system, does
your agency compute a shift relief factor? _____ (Yes/No)

If "Yes," please answer the following:

7a. Does your agency calculate a separate Shift Relief Factor for each security rank? ____ (Yes/No)

7 b. If your agency does calculate a separate Shift Relief Factor for each security rank, please explain
why: _____

7c. Do you use the same Shift Relief Factor calculation for all security staff? _____ (Yes/No)

7d. Do you calculate a separate Shift Relief Factor for each individual facility: _____ (Yes/No)

7 e. If your agency does calculate a separate Shift Relief Factor for each facility, please explain why:
_____

8. Please place an "X" next to the types of leave that your agency includes in its calculation of the shift
relief factor to determine the total number of FTE's needed for the correctional system.

Type of Leave	"X" All That Apply	Type of Leave	"X" All That Apply
Bereavement		Personal	
Compensatory Time		Sick	
Holiday		Training	
Injury on Duty		Vacation	
Leave - No Pay		Other (Specify)	
Leave with Pay		Other (Specify)	
Meal and Break		Other (Specify)	
Military Leave		Other (Specify)	

9. When calculating the shift relief factor, are the following items considered?
    Vacancy Rate   _____ (Yes/No)
    Training Positions   _____ (Yes/No)

10. Are your staffing procedures automated?   _____ (Yes/No)

    10a.   If "Yes," which procedures are automated?

    _____
    _____

    _____

11. Do you use any staffing procedures or practices that you think other jurisdictions might wish to emulate?   _____ (Yes/No)

    If "Yes," please include with your description a copy of the procedure(s) and any forms or electronic templates used.

    _____
    _____
    _____

12. What improvements to your current procedures would you like to recommend to your jurisdiction? Why?

    _____
    _____
    _____

13. Is your agency currently operating with a full staffing complement? _____ (Yes/No)

    13a. If "No," why? (Budget constraints, vacancies, error in shift relief factor calculation)

    _____
    _____
    _____

    13b. What staffing practices have you employed to deal with this issue?

    _____
    _____
    _____

DECISION-MAKING ABOUT ESTABLISHING A SECURITY POST

14. From the list below, please check the factors that are considered when establishing or deleting a post. For those items checked, please rank their importance in the space provided.

    0 – **Not considered** on the decision to place a post or a job.
    1 – **Very little influence** on the decision to place a post or a job.
    2 – **Small amount of influence** on the decision to place a post or a job.
    3 – **Moderate amount of influence** on the decision to place a post or a job.
    4 – **Significant influence** on the decision to place a post or a job.
    5 – **Utmost influence** on the decision to place a post or a job.

POSTING FACTORS	Importance
e.g. Physical design/configuration (pod, cell block, dormitory)of a housing unit	*5*
PHYSICAL FACTORS	
Physical design/configuration (pod, cell block, dormitory) of a housing unit	
Presence of video surveillance for some or all cells in the unit	

POSTING FACTORS	Importance
PHYSICAL FACTORS	
Presence of intercom system for communication between staff and inmates	
Type of housing (single or double cells, multi-occupancy rooms, dorms)	
Capacity and configuration of day room space	
Sight lines of unit or area – ability to observe all cell-fronts, functional space and dayroom movement	
Method of locking and unlocking cells – electronic vs. key	
If and when cells/rooms are left open, or if the inmate has a key to the cell/room	
Location of a control room that supports the unit (i.e. entry and exit, equipment access, emergency back-up, counts, etc.)	
Number and functionality of dedicated spaces inside the unit for professional program functions.	
Number of group work/activity rooms in the housing unit or other functional space	
Presence of sick call/ examining room(s) in the housing unit	
Presence interview/counseling rooms for 2 persons	
Presence of a classroom	
Presence of rooms/cells for constant observation of ill or unstable inmate(s)	
Space for administering medication	
Number of non-security professional staff who must be shared with other facility units	
Presence of computer capability and space in the unit or other functional space	
Presence of computer learning stations	
Presence of alarm buttons in program/service spaces	
Presence of recreation area accessible to and adjacent to the unit	
Presence of recreation equipment on the unit	
Presence of arts and crafts material/equipment/classroom	
Showers in cells as opposed to group showers	
Bathrooms in rooms as opposed to group showers	
Efficiency of lighting	
Other:	
Other:	
Other:	
MANAGEMENT AND STAFF RELATED FACTORS	
Need for security staff with special training	
Cross Gender Staffing	
Staffing stipulation(s) in labor contract	
Number of professional staff dedicated to the unit (e.g., medical, mental health, counseling)	
Number and kind of non-security staff working in the unit (e.g., commissary, food, mail workers, etc.)	
Time periods professional/non-security staff work in the unit	
Ratio of security staff to inmates	
Staffing requirements negotiated with service providers	
Commitments of certain types of staff for unit management	
Input from mental health staff	
Issues of concern about gender specific programming and services	
Input from medical staff	
Other:	
Other:	
Other:	

ACTIVITY FACTORS	
Number of inmates out of their cells/rooms at any one time	
Time and schedule for inmates **to be out of their cells/rooms but in the unit** for particular functions, programs and activities	
Time and schedule for **inmates to be outside the housing unit** for particular functions, programs and activities	
Special duties such as security supervision of pill lines, treatments, examinations, group therapy	
Where the inmates eat (in or out of room, dedicated unit dining room, or general facility dining room)	
Other:	
Other:	
Other:	
INMATE POPULATION FACTORS	
Number of inmates being supervised	
Gender of inmates	
Direct supervision, indirect supervision, or a combination of both	
Custody level of inmates (e.g., close vs. medium vs. minimum)	
Presence of multiple custody levels (e.g., medium and close, medium and minimum)	
Physical condition of the inmates assigned to the unit (i.e. mobility, conditions of illness)	
Mental state of the inmates assigned to the unit (i.e. psychotic, suicidal, special issues)	
Special duty to constantly watch/observe acutely sick or unstable inmate(s)	
Special duty to regularly escort inmates to mental health or medical offices	
Special duty to escort and/or assist disabled inmates	
Classification of inmates according to their personality types	
Other:	
Other:	
Other:	

ESTABLISHING POSTS IN RESPONSE TO SPECIALIZED POPULATIONS' REQUIREMENTS

15. Does your security staff receive specialized training for working with:

   Mentally ill inmates _____ (Yes/No)   # Hours Initially ____   # Hours Annual In-Service ____

   Chronically ill inmates _____ (Yes/No)   # Hours Initially ____   # Hours Annual In-Service ____

   Female inmates _____ (Yes/No)   # Hours Initially ____   # Hours Annual In-Service ____

   15a. Are these specially trained security staff exempt from the facility rotation schedule because of their assignments in the units? _____ (Yes/No)

   15b. Do the medical and mental health staff have their own master roster? _____ (Yes/No)

RATIOS AND STANDARDS

16. For each job classification listed below, please enter any security staff ratio and the standard for each ratio. If your agency does <u>not</u> have a specified inmate to security staff ratio for a specific type of inmate, please write "None" in the *Ratio* column.

Type of Staff	Ratio	Standard set by
Example: Correctional officers	*1 staff to 25*	*Court order*
All Correctional staff		
Correctional Officers (Housing Units)		
Correctional Officers (Visitation)		
Correctional Officers (Transportation)		
Correctional Officers (Recreation)		
Medical		
Mental Health		
Other (specify):		
Other (specify):		

17. Is your agency **currently** operating under a consent decree, court order, and/or memorandum of agreement with regard to staffing patterns and/or levels?   _____ (Yes/No)

    If "Yes," please specify the citation for the court order or case: _____

    What are the staffing requirements of the court order or memorandum of agreement?
    _____

18. Was there a **previous** consent decree, court order, and/or memorandum of agreement no longer in force that controlled staffing patterns and/or levels?   _____ (Yes/No)

    If "Yes," please specify the citation for the court order or case: _____

    What were the staffing requirements of the court order or memorandum of agreement?
    _____

19. Are staffing levels impacted by labor agreements? If "Yes," what are the requirements or specifications of the agreement?

    Correctional Officers   _____ (Yes/No)
    _____

    Supervisors   _____ (Yes/No)
    _____

    Program Staff   _____ (Yes/No)
    _____

    Professional Staff   _____ (Yes/No)
    _____

20. Does your agency follow standards set by a professional agency that monitors and accredits compliance with standards (e.g., ACA, NCCHC, JCAH)?   _____ (Yes/No)

    If "Yes," what is the name of the agency? _____
    Which standards apply? _____

21. Does your agency have written policies and procedures that govern staffing practices? ____ (Yes/No)

Please send us copies of these policies and procedures and any other documents addressing staffing institutions. Please include any forms, tables, and other documents that your agency uses to conduct a staffing analysis.

Please fax to Judy Bisbee at 860-704-6420, or send by mail to Judy Bisbee at the Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457.

Please send any electronic files to jbisbee@cji-inc.com.

Thank you for your time and assistance.

Definitions of Key Terms:

Daily Roster: A daily shift assignments schedule (plan), by post, for all security personnel.

FTE: Full Time Equivalent position. A whole position required to fill one post at a given time or portions of posts equivalent to given time.

Full Complement: The staffing condition whereby there are always enough available FTEs to operate all security posts per the facility post plans without the use of overtime.

Master Roster: A deployment schedule prepared in advance on a monthly basis for each shift which lists all approved posts and staff assigned according to approved staffing pattern(s).

NAWH: The number of hours staff are actually available to work, based on the contracted number of hours per year (40 hours per workweek x 52.14 weeks per year = 2,086 hours) minus the average number of hours off per staff person per year.

Non-Security Staff: All staff who are not uniformed security staff.

Post: an established staff function assigned to a particular area/service that is occupied (open) at prescribed time periods and particular days according to a post plan.

Post Plan: A listing of all permanent posts in a facility by location or primary function, classification, shift, schedule, and hours of operation.

Professional Staff: Staff who are specially educated and trained to provide specialized services to the inmate population. Examples are medical staff, mental health staff, educational and vocational teaching staff, recreation therapists etc.

Scheduling Pattern: a repetitive pattern of work days on and work days off for security posts/cadres whereby a required number of hours of work are completed in a given time period, e.g. every week, ten days, two weeks, month etc. Examples: five days on, two days off; four days on, three days off etc.

Shift Relief Factor: The factor used to calculate the number of FTEs required to cover a post, including coverage for regular days off, annual leave, sick leave, personal leave, training, workers compensation etc. For example

Staffing Analysis: a methodical and detailed set of procedures used to develop and maintain an accurate shift relief factor, approved post plans, efficient scheduling patterns, master and daily rosters. Such procedures are essential to (1) establishing the number of full time equivalent positions required to keep a full complement of staff and (2)

Uniformed Security Staff: All staff who wear security uniforms and whose primary function and specific duties are to ensure the safety of staff and inmates throughout a corrections agency's facilities, units, programs, services, and/or functions

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Appropriate Security Staffing for Medical Service Delivery

U. S. Department of Justice, National Institute of Corrections

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Please fax the completed inventory to Judy Bisbee at 860-704-6420, or send by mail to Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457 by: **Friday, January 9, 2004.**

Inventory Completed By:

Name   _____   Title   _____

Agency   _____

Phone   _____   Fax   _____

Email   _____

Who should complete this inventory? Preferably, the individual in charge of Medical/Health Services for the Corrections Department or his/her designee should complete this inventory. If this person is a medical/health services contractor, the inventory should be directed either to the contractor or to the agency's contract monitor.

Purpose of the Staffing Inventory for the Chronically Ill: The purpose of this inventory is to collect information from state departments of corrections that will contribute significantly to the development of a National Institute of Corrections manual for training staff to conduct prison security staffing analyses. This inventory focuses on the security staffing needs in units or facilities housing **chronically ill inmates**. Your responses will contribute to recommendations on how to tailor post plans to meet the needs of chronically ill inmates. Best practices, policies and procedures for conducting staffing analyses as well as practices for developing specialized post plans for units housing other special populations are also requested for review and possible inclusion in the manual. Separate inventories have also been distributed for general staffing practices, for women offenders, and the mentally ill inmates.

Definitions of Key Terms:

Medical/Health Service Delivery Variables: The characteristics of a medical/health service delivery environment that influence the methods required to deliver health services to inmate patients efficiently and safely. Such variables can include:

- Patient Population Characteristics
- Physical Characteristics and Technologies

- Points of Service and Access to Service
- Staff Issues in Medical/Health Service Delivery

Security Staff: Uniformed staff whose primary function and specific duties are to ensure the safety of staff and inmates in a corrections agency's facilities, units, programs, services, and/or functions.

Non Security Staff: Staff whose primary functions and specific duties do not include inmate surveillance and control.

Professional Staff: Staff who are educated and trained to provide specialized services to the inmate population. Examples are medical staff, mental health staff, educational and vocational program teaching staff, recreation therapists, etc.

Staffing Analysis: An exercise using methodical and detailed procedures to establish, validate, and/or modify post plans, scheduling patterns, shift relief factors, etc. in order to calculate the number of full time equivalent positions required to maintain a full complement of staff to operate a facility safely and securely without the use of overtime.

Post: An established staff function assigned to a particular area/service that is scheduled to be occupied (open) at prescribed time periods and on particular days according to a post plan.

Post Plan: The plan that delineates required numbers of posts to serve specific purposes according to area, service, function, and schedule.

Patients: Inmates who are chronically ill and/or are receiving health services.

Does a Central Office Medical Services administrator or contract manager oversee health service delivery in all Department of Corrections facilities?	YES	NO

Please describe how Medical Services are delivered to inmate patients in your jurisdiction by placing an (X) in each box that applies to your jurisdiction.

Medical Service Delivery Components in Your Department of Corrections	Yes (X) if Provided by the DOC	Yes (X) if Provided by a Contractor
Medical Services are offered in varying levels of care, all of which may not be accessible at every institution.		
All institutions offer some access to medical services.		
Within an institution, services are, in some instances, provided in separate residential medical unit(s).		
There are services from other agencies, facilities and entities outside the Department of Corrections delivered to or accessed by inmates.		
Other service delivery component:		
Other service delivery component:		

MEDICAL SERVICE DELIVERY AND SECURITY STAFF ROLES

Screening and Training Correctional Staff to Work With Chronically Ill Inmates	YES	NO
Does Health Services staff screen Security Staff who may be working with mentally ill inmates for suitability for the work?		
Does Health Services staff provide training for Security Staff who may be working with mentally ill inmates?		
What types of training is provided?		

What are your expectations for security staff with regard to medical services? Listed below are some responsibilities/duties that might be expected of security staff who support the delivery of medical services in the corrections setting. Please place an (X) after the expectations with which you agree and add to the list expectations not listed here.

Security Staff Responsibilities/Duties:	(X)
Report any unusual change in a patient's physical condition	
Report to medical staff all incidents relating to a patient's medical issues	
Participate in patient treatment team meetings	
Schedule and produce patients for all medical appointments and related activities	
Escort patients to medical services	
Manage patients according to protocols as directed by medical staff	
Ensure security during medical service delivery **inside** housing units	
Ensure security during medical service delivery **outside** housing units	
Observe inmates who need special observation according to medical staff instructions and record observations as required	
Other:	
Other:	

Indicators that security staffing levels are not sufficient to meet Medical/Health Service Delivery requirements: (X) those that apply for your agency.	(X)
Confusion and congestion in the service delivery area/clinic	
Poor state of cleanliness in medical housing units	
Inmates are consistently late for medical appointments at the clinic	
Security is slow to respond to incident(s) with patients in the **treatment area**	
Security is slow to respond to incident(s) with patients in the **housing units**	
Medicines are found during shakedowns of housing units	
Numerous medical staff complaints/grievances regarding the lack of safety	
Other:	
Other:	

	YES (X)	NO (X)
Are security staff authorities informed when you experience indicators of insufficient security staff?		
What **formal** method does medical/health service staff use for addressing insufficient security staff?		
What **informal** method does medical/health service staff use for addressing insufficient security staff?		
Do security personnel routinely solicit your input on staffing needs in medical/health service delivery areas?	YES (X)	NO (X)

Staffing Analysis Practices Relating to Medical/Health Service Delivery (Check all that apply)	
There are specific method(s) used in your jurisdiction to determine the number of security staff needed to support **medical/health service functions**.	(X)
Medical staff participates with security staffing authorities in determining the number, types and roles of security staff needed for provision of medical/health services to inmate patients.	
There is a periodic review and/or analysis of **general population** security post plans in your jurisdiction.	
There is a periodic review and/or analysis of security post plans for **medical** units, functions, services.	
There is a formal procedure used to conduct periodic reviews of security staffing levels.	
Medical/health service personnel participate in such periodic reviews.	
What improvements to current medical/health service security staffing policies and procedures would you recommend to your jurisdiction? (Attach additional sheet if needed.)	

Shift Relief Factor	Yes	No
When computing the number of security FTE positions needed for your correctional system, does your agency compute a shift relief factor?		
Do you use a separate Shift Relief Factor formula to determine security staffing levels for facilities/units housing chronically ill inmates?		
If your agency uses a separate Shift Relief Factor to determine security staffing levels for housing facilities/units housing chronically ill inmates, how does it differ from your agency's Shift Relief Factor used for general staffing purposes? *(Please include a copy of any policies & procedures that explain that method.)*		

MEDICAL/HEALTH SERVICE DELIVERY VARIABLES THAT AFFECT SECURITY POST PLANS

Use your professional expertise to rank **how important** each characteristic listed below is when assigning security posts in support medical/health service delivery. Enter a number according to the scale below.

0   **Not important** when staffing to support medical/health service delivery.
1   **Of Very Little Importance** when staffing to support medical/health service delivery.
2   **Of Some Importance** when staffing to support medical/health service delivery.
3   **Moderately important** when staffing to support medical/health service delivery.
4   **Significantly important** when staffing to support medical/health service delivery.
5   **Of Utmost importance** when staffing to support medical/health service delivery.

Characteristics of the Patient Population	Importance of Characteristic when Assigning Security Posts for Medical/Health Service Delivery (Rate 0 – 5)	
Custody level of the patient(s) (maximum/medium/minimum)		
Genders of patients		
Presence of patients who have conditions that require assistance in moving		
Presence of patients who require medications at regular intervals of time		
Presence of patients who require escort within the unit e.g. bathroom		
Other characteristic:		
Other characteristic:		
Does the number of security staff needed vary with the profile of the patient population on a given day?	**Yes (X)**	**No (X)**

Physical Plant Characteristics and Technologies	Importance of Characteristic when Assigning Security Posts for Medical/Health Service Delivery (Rate 0 – 5)
Medical housing: single or double-cells, multi-occupancy rooms, or dorms?	
Presence or absence of equipment/space to administer medications	
Presence or absence of one-to-one examining rooms on housing units.	
Presence or absence of body or other alarms for all staff involved	
Presence or absence of special observation cells	
Presence or absence of video surveillance for some or all cells in the unit	
Presence or absence of intercom for communication between staff and inmates	
Other characteristic:	
Other characteristic:	

Points of Service and Access to Service	Importance of Characteristic when Assigning Security Posts for Medical/Health Service Delivery (Rate 0 – 5)
Medical offices/clinics located in the institution are open for during the day.	
Medical clinic/infirmary is open 24 hours per day.	
There are departmental medical services available in other institutions to which inmates can be transferred if they require additional services.	
Triage/sick call is conducted in the housing unit or outside the unit.	
Patients are escorted/transported by security staff to the facility's onsite clinic(s) for appointments and treatment.	
Medical staff provide treatment in medical spaces on housing unit(s).	
Patients live in a separate dedicated medical treatment unit within the facility where services are delivered.	
Patients go unescorted to medical clinics and treatment programs.	
Medications are administered in the clinic.	
Medications are administered from a common location in or near housing units.	
Medical residential units are specially configured and equipped for delivering many medical services.	

Points of Service and Access to Service *(Continued from Page 4)*	Importance of Characteristic when Assigning Security Posts for Medical/Health Service Delivery (Rate 0 – 5)
Other:	
Other:	

Staff and Safety				Importance of Characteristic when Assigning Security Posts for Medical/Health Service Delivery (Rate 0 –5)	
Whether or not security staff who work in medical health areas are specially trained to work with mentally ill patients.					
Whether or not medical health workers are trained in security to enhance their abilities to function safely in a prison environment.					
Number of professional staff **dedicated** to the unit.					
Time and schedule for inmates to be out of their cells/rooms but **in the unit.**					
Time and schedule for inmates to be **outside the housing unit.**					
Special duties such as security supervision of pill lines, examinations, therapy.					
Other service delivery scenario:					
Other service delivery scenario:					
Do security staff who work in medical/health receive specialized training for working with mentally ill inmates?	**Yes**	**No**	**Initial # Hrs.**	**In-Service #Hrs.**	
Are specially trained security staff exempt from the facility rotation schedule because of their assignments in medical/health units?				**Yes**	**No**

Medical Staff

Indicate if you use the staff listed in delivering medical services to men's institutions and women's institutions. (X) Indicate the typical number of staff for male institutions and for women's institutions. Enter the staff/inmate ratio if available.	(X)	# for Men	# for Women	Staff/ Inmate Ratio
Physicians				
Physician's Assistants				
Nurses				
Nurses' Aides				
Paramedics				
Administrators				
Health Education Personnel				
Activity Therapist				
Physical Therapist				
Lab Technicians				
X-ray Technicians				
Other:				
Other:				
Other:				
Other:				

Externally Imposed Staffing Requirements

Does your agency **currently** operating under a consent decree, court order, and/or memorandum of agreement with regard to medical unit/function/services staffing patterns and/or levels?	**Yes**	**No**
If "Yes," please specify the citation for the court order or case:		
What are the requirements of the court order or memorandum of agreement?		
Was there a previous consent decree, court order, and/or memorandum of agreement no longer in force that controlled staffing patterns and/or levels in medical units?	**Yes**	**No**
If "Yes," please specify the citation for the court order or case:		
What were the requirements of the court order or memorandum of agreement?		

	Yes	**No**
Are staffing levels in medical/health units impacted by labor agreements for:		
Correctional Officers?		
Correctional Supervisors?		
Program Staff?		
Professional Staff?		
If "Yes," what are the requirements or specifications of the agreement?		

Does your agency follow standards set by a professional agency that monitors and accredits compliance with health services delivery standards (e.g., ACA, NCCHC, JCAH)?	**Yes**	**No**
If "Yes," what is the name of the agency? Which standards apply?		
Does your agency have policies and procedures that govern staffing practices in medical units?	**Yes**	**No**
If "Yes," what is the name of the agency?		

Please send us copies of the policies and procedures that govern staffing practices in medical units. Please include any forms, tables, and other documents that your agency uses to conduct a staffing analysis.

Please fax to Judy Bisbee at 860-704-6420, or send by mail to: Judy Bisbee at the Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457.   Please send any electronic files to jbisbee@cji-inc.com.

Thank you for your assistance.

<div style="border:1px solid">

Appropriate Security Staffing for Mental Health Service Delivery

U. S. Department of Justice, National Institute of Corrections

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Please fax the completed inventory to Judy Bisbee at 860-704-6420, or send by mail to Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457 by: **Friday, January 9, 2004.**

Inventory Completed By:

Name   _____   Title   _____

Agency   _____

Phone   _____   Fax   _____

Email   _____

Who should complete this inventory? Preferably, the individual in charge of Mental Health Services for the Corrections Department or his/her designee. If this person is a mental health services contractor, the inventory should be directed either to the contractor or to the agency's contract monitor.

Purpose of the Staffing Inventory for the Mentally Ill: The purpose of this inventory is to collect information from state departments of corrections that will contribute significantly to the development of a National Institute of Corrections manual for training staff to conduct prison security staffing analyses. This inventory focuses on the security staffing needs in units or facilities housing **mentally ill inmates**. Your responses will contribute to recommendations on how to tailor post plans to meet the needs of mentally ill inmates. Best practices, policies and procedures for conducting staffing analyses as well as practices for developing specialized post plans for facilities or units housing other special populations are also requested for review and possible inclusion in the manual. Separate inventories have also been distributed for general staffing practices, for the chronically ill, and for women offenders.

Definitions of Key Terms:

Mental Health Service Delivery Variables: The characteristics of a mental health service delivery environment that influence the methods required to deliver mental health services to inmate patients efficiently and safely. Such variables can include:

- Patient Population Characteristics
- Physical Characteristics and Technologies
- Points of Service
- Method(s) for Accessing Service
- Staff Issues in Mental Health Service Delivery

Security Staff: Uniformed staff whose primary function and specific duties are to ensure the safety of staff and inmates in a corrections agency's facilities, units, programs, services, and/or functions.

Non-Security Staff: Staff whose primary functions and specific duties do not include inmate surveillance and control.

Professional Staff: Staff who are specially educated and trained to provide specialized services to the inmate population. Examples are medical staff, mental health staff, educational and vocational program teaching staff, recreation therapists etc.

Staffing Analysis: An exercise using methodical and detailed procedures to establish, validate and/or modify post plans, scheduling patterns, shift relief factors, etc. in order to calculate the number of full time equivalent positions required to maintain a full complement of staff to operate a facility safely and securely without the use of overtime.

Post: An established staff function assigned to a particular area/service that is scheduled to be occupied (open) at prescribed time periods and on particular days according to a post plan.

Post Plan: The plan that delineates required numbers of posts to serve specific purposes according to area, service, function and schedule.

Patients: Inmates who are mentally ill and/or are receiving mental health services.

Does a Central Office Mental Health administrator or contract manager oversee mental health service delivery in all Department of Corrections facilities?	YES	NO

Please describe how Mental Health Services are delivered to inmate patients in your jurisdiction by placing an (X) in each box that applies to your jurisdiction.

Mental Health Service Delivery Components in Your Department of Corrections	Yes (X) if Provided by the DOC	Yes (X) if Provided by a Contractor
Mental Health Services are offered in varying levels of care, all of which may not be accessible at every institution.		
All institutions offer some access to mental health services.		
There are institution(s) in the DOC operated exclusively as mental health facilities		
Within an institution, services are, in some instances, provided in separate residential mental health unit(s).		
There are services from other agencies, facilities and entities outside the Department of Corrections delivered to or accessed by inmates.		
Step-down programs are offered as patients need less intensive services		
Other service delivery component:		
Other service delivery component:		

MENTAL HEALTH SERVICE DELIVERY AND SECURITY STAFF ROLES

Screening and Training Correctional Staff to Work With Mentally Ill Inmates	YES	NO
Does Mental Health screen Security Staff who may be working with mentally ill inmates for suitability for the work?		
Does Mental Health provide training for Security Staff who may be working with mentally ill inmates?		
What types of training is provided?		

What are your expectations for security staff with regard to mental health services? Listed below are some responsibilities/duties that might be expected of security staff who support the delivery of mental health services in the corrections setting. Please place an (X) after the expectations with which you agree and add to the list expectations not listed here.

Security Staff are Expected To:	(X)
Report any unusual change in a patient's mood or behavior	
Report to mental health staff all incidents involving a patient's mental health issues	
Participate in mental health treatment team meetings	

Security Staff are Expected To:	(X)
Schedule and produce patients for all mental health appointments and related activities	
Escort patients to mental health services	
Manage patients according to mental health protocols when they act out	
Ensure security during medication lines	
Ensure security during mental health service delivery outside housing units	
Observe inmates who need special observation according to mental health staff instructions (intervals, interaction etc.) and record observations as required	
Other:	
Other:	

What are the indicators that security staffing levels are not sufficient to meet Mental Health Service Delivery requirements? Indicate (X) those that apply for your agency.	(X)
Confusion and congestion in the service delivery area/clinic	
Poor state of cleanliness in mental health housing units	
Inmates are consistently late for mental health appointments at the clinic	
Security is slow to respond to incident(s) with patients in the **treatment area**	
Security is slow to respond to incident(s) with patients in the **housing units**	
Medicines are found during shakedowns of housing units	
Numerous mental health staff complaints/grievances regarding the lack of safety	
Frequent use of force by security staff in mental health housing areas	
Other:	
Other:	

	YES (X)	NO (X)
Are security staff authorities informed when you experience indicators of insufficient security staff?		
What **formal** method does mental health staff use for addressing insufficient security staff?		
What **informal** method does mental health staff use for addressing insufficient security staff?		
Do security personnel routinely solicit your input on staffing needs in mental health service delivery areas?	YES (X)	NO (X)

Staffing Analysis Practices Relating to Mental Health Service Delivery (Check all that apply)

	(X)
There are specific method(s) used in your jurisdiction to determine the number of security staff needed to support **mental health service functions**.	
Mental health staff participates with security staffing authorities in determining the number, types and roles of security staff needed for provision of mental health services to inmate patients.	
There is a periodic review and/or analysis of **general population** security post plans in your jurisdiction.	
There is a periodic review and/or analysis of security post plans for **mental health** units, functions, services.	
There is a formal procedure used to conduct periodic reviews of security staffing levels.	
Mental health personnel participate in such periodic reviews.	
What improvements to current mental health security staffing policies and procedures would you recommend to your jurisdiction? (Attach additional sheet if needed.)	

Shift Relief Factor	Yes	No
When computing the number of security FTE positions needed for your correctional system, does your agency compute a shift relief factor?		
Do you use a separate Shift Relief Factor formula to determine security staffing levels for facilities/units housing mentally ill inmates?		
If your agency uses a separate Shift Relief Factor to determine security staffing levels for housing mentally ill inmates, how does it differ from your agency's Shift Relief Factor used for general staffing purposes?		
If your agency does calculate a separate Shift Relief Factor for facilities housing mentally ill inmates, please explain why below and include a copy of those procedures with this inventory:		

MENTAL HEALTH SERVICE DELIVERY VARIABLES THAT AFFECT SECURITY POST PLANS

Use your professional expertise to rank **how important** each characteristic listed below is when assigning security posts in support mental health service delivery. Enter a number according to the scale below.

0   **Not important** when staffing to support Mental Health service delivery.
1   **Of Very Little Importance** when staffing to support Mental Health service delivery.
2   **Of Some Importance** when staffing to support Mental Health service delivery.
3   **Moderately Important** when staffing to support Mental Health service delivery.
4   **Significantly Important** when staffing to support Mental Health service delivery.
5   **Of Utmost Importance** when staffing to support Mental Health service delivery.

Characteristics of the Patient Population	Importance of Characteristic when Assigning Security Posts for Mental Health Service Delivery (Rate 0 – 5)
Custody level of the patient(s) (maximum/medium/minimum)	
Genders of patients	
Presence of patients who have histories of disruptive or psychotic episodes	
Presence of patients who are a threat to injure themselves or others (suicidal)	
Presence of patients who require medications at regular intervals of time	
Presence of patients who require escort within the unit e.g. bathroom	
Other characteristic:	
Other characteristic:	

Physical Plant Characteristics and Technologies	Importance of Characteristic when Assigning Security Posts for Mental Health Service Delivery (Rate 0 – 5)
Presence or absence of equipment/space to administer medications	
Presence or absence of treatment / activity rooms on the housing units	
Presence or absence of body- or other alarms for all staff involved	
Presence or absence of special observation cells	
Presence or absence of video surveillance for some or all cells in the unit	
Presence or absence of intercom for communication between staff and inmates	
Other characteristic:	
Other characteristic:	

Mental Health Points of Service and Access to Service	Importance of Characteristic when Assigning Security Posts for Mental Health Service Delivery (Rate 0 – 5)
Mental health offices/clinics located in the institution are open for during the day.	
Medical clinic/infirmary is open 24 hours per day.	
The entire facility is a mental health facility.	
There are departmental mental health services available in other institutions to which inmates can be transferred if they require additional services.	
Patients are escorted/transported by security staff to the facility's onsite clinic(s) for appointments and treatment.	
Mental health staff provide treatment in mental health spaces on housing unit(s).	
Patients live in a separate dedicated mental health treatment unit within the facility where services are delivered.	
Patients go unescorted to mental health clinics and treatment programs.	
Medications are administered in the clinic.	
Medications are administered from a common location in or near housing units.	
A mental health staff person triages inmates with complaints in housing units.	
Mental health residential units are specially configured and equipped for delivering most mental health services.	
Other:	
Other:	

Staff and Safety	Importance of Characteristic when Assigning Security Posts for Mental Health Service Delivery (Rate 0 –5)			
Whether or not security staff who work in mental health areas are specially trained to work with mentally ill patients.				
Whether or not mental health workers are trained in security to enhance their abilities to function safely in a prison environment.				
The number of professional staff **dedicated** to the unit.				
Time and schedule for inmates to be out of their cells/rooms but **in the unit**.				
Time and schedule for inmates to be **outside the housing unit**.				
Special duties such as security supervision of pill lines, examinations, therapy.				
Other service delivery scenario:				
Other service delivery scenario:				
Do security staff who work in mental health receive specialized training for working with mentally ill inmates?	Yes	No	Initial # Hrs.	In-Service #Hrs.
Are specially trained security staff exempt from the facility rotation schedule because of their assignments in mental health units?			Yes	No

Mental Health Staff

Indicate if you use the staff listed in delivering mental health services to men's institutions and women's institutions. (X) Indicate the typical number of staff for male institutions and for women's institutions. Enter the staff/inmate ratio if available.	(X)	# for Men	# for Women	Staff/ Inmate Ratio
Psychiatrists				
Psychiatric Nurses				
Psychiatrist's Assistants				
Psychologists				
Counselors				
Social Workers/Case Workers				
Mental Health Aides				
Physicians				
Nurses				

Nurses' Aides			
Paramedics			
Administrators			
Mental Health Educator			
Activity Therapist			
Group Therapists			
Other:			
Other:			
Other:			
Other:			
Other:			
Other:			

Externally Imposed Staffing Requirements

	Yes	No
Is the agency **currently** operating under a consent decree, court order, and/or memorandum of agreement with regard to mental health unit/function/services staffing patterns and/or levels?		
If "Yes," please specify the citation for the court order or case:		
What are the requirements of the court order or memorandum of agreement?		

	Yes	No
Was there a previous consent decree, court order, and/or memorandum of agreement no longer in force that controlled staffing patterns and/or levels in mental health units?		
If "Yes," please specify the citation for the court order or case:		
What were the requirements of the court order or memorandum of agreement?		

Are staffing levels in mental health units impacted by labor agreements for:	Yes	No
Correctional Officers?		
Correctional Supervisors?		
Program Staff?		
Professional Staff?		
If "Yes," what are the requirements or specifications of the agreement?		

	Yes	No
Does your agency follow standards set by a professional agency that monitors and accredits compliance with mental health standards (e.g., ACA, NCCHC, JCAH)?		

If "Yes," what is the name of the agency? Which standards apply?		

	Yes	No
Does your agency have policies and procedures that govern staffing practices in mental health units?		

If "Yes," what is the name of the agency?

Please send us copies of these policies and procedures. Please include any forms, tables, and other documents that your agency uses to conduct a staffing analysis.

Please fax to Judy Bisbee at 860-704-6420, or send by mail to: Judy Bisbee at the Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457.

Please send any electronic files to jbisbee@cji-inc.com.

Thank you for your assistance.

Staffing for Women's Correctional Institutions

U. S. Department of Justice, National Institute of Corrections

Please fax the completed inventory to Judy Bisbee at 860-704-6420, or send by mail to Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457 by: **Friday, January 9, 2004.**

Inventory Completed By:

Name   _____   Title   _____

Agency   _____

Phone   _____   Fax   _____

Email   _____

Who should complete this inventory? Preferably, the individual in charge of adult women's services for the Corrections Department or his/her designee should respond. If such a division does not exist, the person most knowledgeable and/or responsible for staffing women's facility(ies) should respond.

Purpose of the Staffing Inventory for Women Offenders: The purpose of this inventory is to collect information from state departments of corrections that will contribute significantly to the development of a National Institute of Corrections manual for training staff to conduct prison security staffing analyses. This inventory focuses on the security staffing needs in units or facilities housing **women offenders**. Your responses will contribute to recommendations on how to tailor post plans to meet the needs of women offenders. Best practices, policies, and procedures for conducting staffing analyses as well as practices for developing specialized post plans for units housing these special populations are also requested for review and possible inclusion in the manual. Separate inventories have also been distributed for general staffing, chronically ill, and mentally ill offenders.

Definitions of Key Terms:

Security Staff: Uniformed staff whose primary function and specific duties are to ensure the safety of staff and inmates in a correctional agency's facilities, units, programs, services, and/or functions.

Professional Staff: Staff who are educated and trained to provide specialized services to the inmate population. Examples are medical staff, mental health staff, educational and vocational program staff, recreation therapists, etc.

Staffing Analysis: An exercise using methodical and detailed procedures to establish, validate and/or modify post plans, scheduling patterns, shift relief factors, etc. in order to calculate the number of full time equivalent positions required to maintain a full complement of staff to operate a facility appropriately, safely and securely without the use of overtime.

Post: An established staff function assigned to a particular area/service that is scheduled to be occupied (open) at prescribed time periods and on particular days according to a post plan.

Post Plan: The plan that delineates required numbers and types of posts to serve specific purposes according to area, service, function and schedule.

Cross-Gender Supervision: Staffing which includes allowing staff members to supervise inmates of the opposite sex.

Agency Organization for Women's Supervision, Services and Programs	YES	NO
Is there a Central Office position for administering women's institutions, services and programs?		
Is there a separate institution exclusively for women in your agency?		
Are any women in coed facilities?		
Is there cross-gender supervision of women in your agency?		
If there is cross-gender supervision of women in your agency, what percentage of staff who supervise women are male?	%	

Staffing Analysis for Women's Institutions	YES	NO
Is there a department-wide staffing analysis process used in your agency?		
If yes, is there a periodic review of the security post plans **designed specifically for women's institutions** and different from the review conducted for male institutions?		
Are women-specific method(s) used to determine the number of security staff required to support women's institutions?		
Are women-specific criteria used for establishing, adding and/or deleting posts in women institutions?		
Is there a particular position/person tasked to conduct staffing processes specifically designed for women's facilities?		
Is there a **security** position/person who makes decisions to establish, add and/or delete security posts and positions based on special needs of women offenders?		
Is there a **medical** position/person who makes decisions to establish, add and/or delete medical posts and positions based on special needs of women offenders?		
Is there a **mental health** position/person who makes decisions to establish, add and/or delete mental health posts and positions based on special needs of women offenders?		
Is there a **program** position/person who makes decisions to establish, add and/or delete program posts and positions based on special needs of women offenders?		
Is there a process by which disciplines collaborate to determine numbers and types of staff required for women's housing, programming, medical and mental health services?		
Is there a specific women's institution shift relief factor used to calculate numbers of positions needed for women offenders?		
Are there special policy provisions for cross-gender staffing/posting?		
Is there a required ratio of officers to women offenders?		
Are staffing levels higher when most security staff are female?		
Are staffing levels higher when most security staff are male?		
What is the current ratio of staff to inmates?	1 to_____	

If there are policies and procedures for staffing women's institutions, and especially criteria for establishing, adding and deleting posts, please send them or email to jbisbee@cji-inc.com.

Do You Think That the Needs of Women Offenders Require More Staff in Women's Institutions Than Are Required in Men's Institutions?	Agree? (X)	Indicate with (X) the areas that require more staff in women's institutions.			
		Security	Medical	Mental Health	Programs
Special Needs of Women Offenders					
Women offenders are frequently not separated by classification. Women require separations in housing accommodations according to security risks and needs.					
Most women offenders require more time and attention from staff than men do.					
Women who have been have been abused physically, sexually, and emotionally frequently suffer from more trauma, depression, anxiety and other mental health disorders that require special treatment.					
Women have higher rates of somatic illnesses than men.					
Women have more venereal and pelvic disorders than men.					
Women require more use of medications than men.					
Women offenders are more likely than males to have serious substance abuse issues. They need more intensive treatment.					
Women require more trips to special medical clinics than men.					
Women's medical issues require medical coverage 24 hours per day.					
Women offenders require special programs in parenting, battering and abuse, legal recourse etc.					
Pregnant women need prenatal care.					
Pregnant women need transport procedures different from those of men.					
Pregnant women need special quarters and accommodations during the latter part of gestation.					
Some pregnant women require 24-hour nursing services before delivery.					
Women need to have their babies with them after delivery.					
Women need to visit with their children more often and/or for longer periods of time.					
Some women want to have their children visit and/or live in their housing units.					
Women have more and different needs for hygiene and grooming space and equipment than men.					
Women prefer private living quarters more than males.					
Women have needs that require more social work services than men, e.g., family contacts, childcare.					
Other:					
Other:					
Other:					

Shift Relief Factor	Yes	No
When computing the number of security FTE positions needed for your correctional system, does your agency compute a shift relief factor?		
Do you use a **separate** Shift Relief Factor formula to determine security staffing levels for women's facilities/units?		
If your agency uses a separate Shift Relief Factor to determine security staffing levels for women's facilities/units, how does it differ from your agency's Shift Relief Factor used for general staffing purposes?		
If your agency does calculate a separate Shift Relief Factor for women's facilities, please explain why below and include a copy of those procedures with this inventory:		

| Cross Gender Supervision Needs	Agree? (X)	Warrants Screening for Personality Characteristics? (X)	Warrants Special Training for Staff? (X)	Warrants Same Sex Staff? (X)
Generally, women's needs and behavior differ significantly from that of males.				
Women behave differently and sometimes sexually forward toward male staff.				
Generally, women have more need not to be seen by the opposite sex in vulnerable situations than do males.				
Generally, women have more need not to be touched by the opposite sex in vulnerable areas than do men. They prefer to be pat-searched by staff of the same sex.				
Generally, women offenders have higher needs for female nurturing than men.				
Generally, there are topics that women prefer not to discuss with men.				
Women need and require less aggressive (non-aggressive) supervision than men.				
Women are afraid of being physically and emotionally abused by men.				
Because there is a correctional history of women offenders having been sexually abused by male staff, women are afraid of male staff.				
Because of histories of prostitution, many women offenders desperately need positive male role models.				
Women who are in the hospital are uncomfortable with male officers supervising them.				

Different Staff Duties in Women's Institutions. Indicate if the duty can add to number of staff required. (X all that apply)	(X)
Report and/or document any unusual/significant change in an inmate's emotional condition.	
Counsel with inmates who are out of control for longer periods of time than would be allowed for males.	
Use force with women inmates according to special female-specific protocols.	
Observe pregnant women according to medical staff instructions and document as required.	
Distribute female-specific supplies.	
Spend extra time listening to inmate problems and complaints.	
Open special grooming facilities and supervise them during more hours of the day than in male institutions.	
Spend more time supervising cleaning and monitoring property than in male institutions.	
Spend more time dressing out and transporting inmates to appointments.	
Call and wait for female officers to perform strip and/or pat searches on women inmates.	
Supervise housing units in which children are present.	
Monitor closely mentally ill, chronically ill and pregnant inmates and document changes as directed.	
Other:	
Other:	
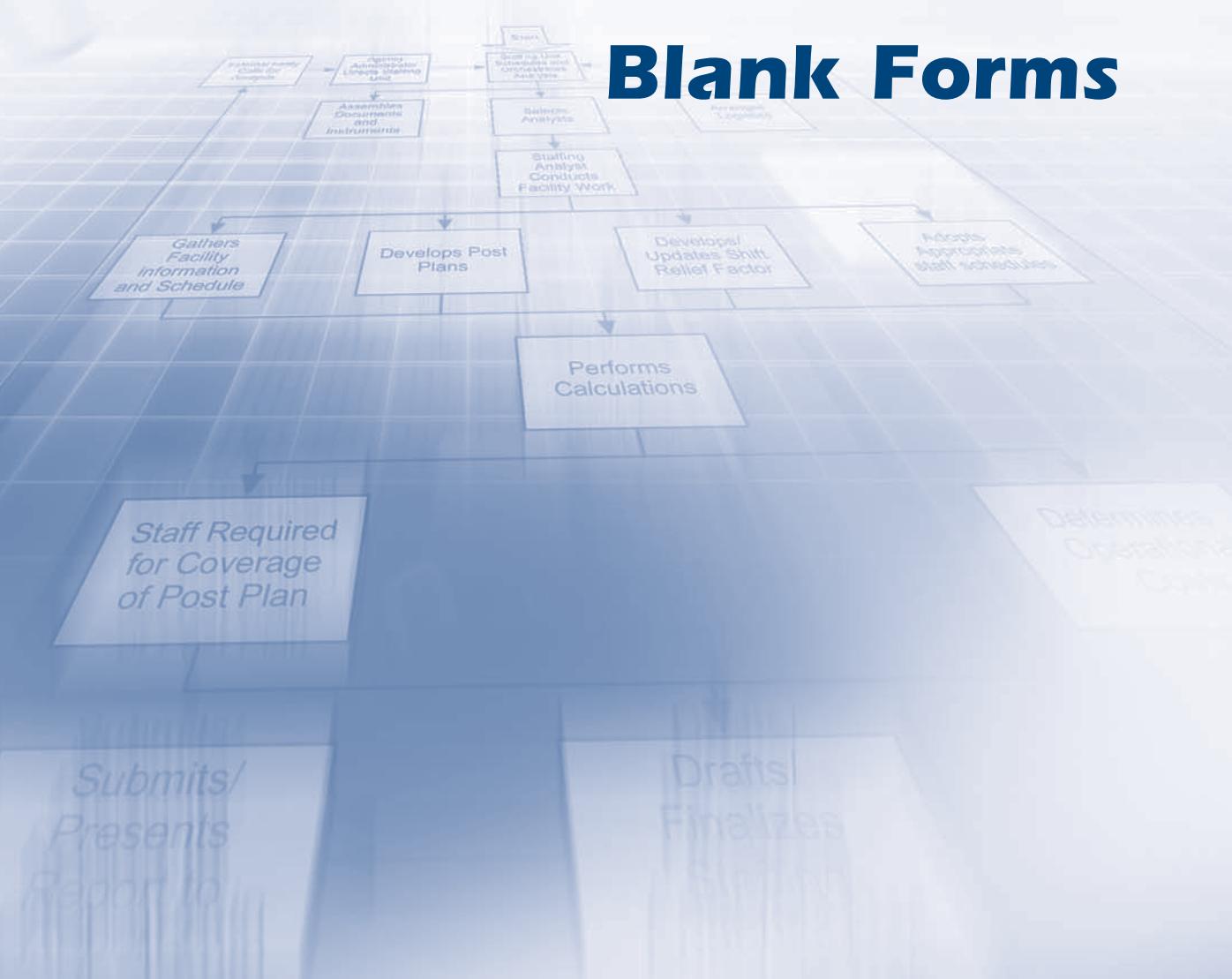
What Are the Indicators that Security Staffing is Insufficient or Gender Inappropriate? (X all that apply)	Insufficient	Gender Inappropriate
Reports of sexual misconduct between staff and inmates.		
An increase in the number of fights among female inmates.		
Grievances against staff for abusive behavior.		
Documented concerns about quality of supervision by mental health staff.		
Documented concerns about quality of supervision by medical staff.		
Documented concerns about quality of supervision by program staff.		
Lack of cleanliness in the housing unit.		
Complaints by pregnant inmates.		
Observable bruises and marks on inmates.		
Dramatic increase in sick call.		
Other:		
Other:		

External Staffing Requirements

	Yes	No
Is the agency **currently** operating under a consent decree, court order, and/or memorandum of agreement with regard to women's institutions staffing patterns and/or levels?		

If "Yes," please specify the citation for the court order or case:

What are the requirements of the court order or memorandum of agreement? (Use separate sheet if needed.)

	Yes	No
Was there a previous consent decree, court order, and/or memorandum of agreement no longer in force that controlled staffing patterns and/or levels in women's institutions?		

If "Yes," please specify the citation for the court order or case:

What were the requirements of the court order or memorandum of agreement? (Use separate sheet if needed.)

	Yes	No
Are staffing levels in women's institutions impacted by labor agreements for:		
Correctional staff?		
Program Staff?		
Professional Staff?		
Is there a requirement for equal employment with regard to gender?		

If "Yes," what are the requirements or specifications of the agreement?

	Yes	No
Does your agency follow standards set by the American Correctional Association specifically for women inmates?		
Does your agency have policies and procedures that govern staffing practices for women?		

Please send us copies of these policies and procedures and any other documents addressing staffing women's institutions. Please include any forms, tables, and other documents that your agency uses to conduct a staffing analysis.

Please fax to Judy Bisbee at 860-704-6420, or send by mail to Judy Bisbee at the Criminal Justice Institute, 213 Court Street, Suite 606, Middletown, CT 06457.

Please send any electronic files to jbisbee@cji-inc.com.

Thank you for your assistance.

Blank Forms

Appendix B. Blank Forms

Form A: Daily Activities for Facility

Activity	0:00	1:00	2:00	3:00	4:00	5:00	6:00	7:00	8:00	9:00	10:00	11:00	12:00	13:00	14:00	15:00	16:00	17:00	18:00	19:00	20:00	21:00	22:00	23:00
Shift Change/Briefing Times:																								
Counts Times:																								
Food Service Times:																								
Scheduled Transports Times:																								
Education Classes Times:																								
Vocational Training Classes Times:																								
Industries Operations Times:																								
Work Details Times:																								
Visiting Times:																								
Attorney Visits Times:																								
Sick Call Times:																								
Special Clinics Times:																								
Medication Administration Times:																								
Commissary Times:																								
Recreation and Leisure Times:																								
Library, Law Library Times:																								
Social Services Interviewing Times:																								
Group Therapy, Cognitive Times:																								
Alcoholics Anon./Narcotics Anon. Times:																								
Disciplinary Hearings Times:																								
Classification Hearings Times:																								
Religious Activities Times:																								

Form B: Shift Relief Factor Based on Net Annual Work Hours

	Major	Captain	Lieutenant	Sergeant	Correctional Officer
Calculate net annual work hours (NAWH):			**Hours**		
1. Total hours contracted per employee per year (If a regular workweek is 40 hours, then 40 X 52.14 weeks = 2,086.)					
2. Average number of vacation hours per employee per year					
3. Average number of holiday hours off per employee per year					
4. Average number of compensatory hours off per employee per year					
5. Average number of sick leave hours off per employee per year					
6. Average number of training hours off per employee per year					
7. Average number of personal hours off per employee per year					
8. Average number of military hours off per employee per year					
9. Average number of meal hours per employee per year (only used if post is relieved)*					
10. Job injury/Workers Compensation leave (not included in sick leave or other category)					
11. Average number of hours of leave without pay (including Family and Medical Leave)					
12. Average number of hours of relief-from-duty leave (with or without pay)					
13. Average number of hours of funeral/bereavement leave					
14. Average number of hours of unauthorized absence					
15. Average number of hours of unearned/executive leave					
16. Average number of hours of vacancies until positions are filled					
17. Other					
18. Total hours off per employee per year (Add Lines 2 through 17.)					
19. Net annual work hours (Subtract Line 18 from Line 1.)					
Calculate the number of hours the post must be staffed per year:					
20. Hours in basic shift					
21. Shifts per day					
22. Days per week					
23. Total hours post staffed per year (Line 20 X Line 21 X Line 22 X 52.14)					
Calculate the shift relief factor (SRF):			**Full-time-equivalent staff**		
24. SRF for 5-day post, one 8-hour shift: Line 23 (hours post staffed per year) ÷ Line 19 (NAWH)					
Other shift relief factors based on SRF for a 5-day post:					
25. 7-day post, one 8-hour shift: (Line 24 X 7) ÷ 5					
26. 7-day post, 8-hour shifts, 24-hour continuous coverage: Line 25 X 3					
27. 7-day post, one 10-hour shift: (Line 24 X 10) ÷ 8					
28. 7-day post, one 12-hour shift: (Line 25 X 12) ÷ 8					
29. 7-day post, 12-hour shifts, 24-hour continuous coverage: Line 28 X 2					

*If some staff in a classification are relieved for meals/breaks and some are not, an additional column is required for that classification because the total net annual work hours will be less for relieved posts than for nonrelieved posts.

Source: Adapted from Dennis R. Liebert and Rod Miller, *Staffing Analysis Workbook for Jails,* 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003), page 43.

Form C: Shift Relief Factor Based on Days

	Major	Captain	Lieutenant	Sergeant	Correctional Officer
Post data:			Days		
A. Days per week post is covered					
B. Days per year post is covered (Line A X 52.14)					
Staff availability:			Days		
C. Days contracted to work per year					
Annual leave					
Holiday leave					
Compensatory time					
Sick leave					
Training time					
Personal time					
Military leave (paid and unpaid)					
Meal and break time					
Job injury/Workers Compensation leave (excludes sick leave)					
Leave without pay (e.g., Family and Medical Leave Act)					
Relief-from-duty leave (with or without pay)					
Funeral/bereavement leave					
Unauthorized absence time					
Unearned/executive leave					
Vacancies					
Other					
D. Total days leave per year					
E. Total available workdays per year (Subtract Line D from Line C)					
Shift relief factor:			Full-time-equivalent staff		
F. SRF = Line B ÷ Line E					

Other shift relief factors based on SRF for a 5-day post (assuming one shift = 8 hours):

G. 7-day post, one 8-hour shift: (Line F X 7) ÷ 5

H. 7-day post, 8-hour shifts, 24-hour continuous coverage: Line G X 3

I. 7-day post, one 10-hour shift: (Line F X 10) ÷ 8

J. 7-day post, one 12-hour shift: (Line G X 12) ÷ 8

K. 7-day post, 12-hour shifts, 24-hour continuous coverage: Line 28 X 2

Form D: Post Evaluation and Planning Instrument
Part 1. Current Post Plan

Post	Attributes				Officers per Shift								Computation				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
	Function	Rank	Priority	Number of days	Office hours	Day shift, 8 hours	Evening shift, 8 hours	Night shift, 8 hours	Day shift, 12 hours	Night shift, 12 hours	10-hour over-lapping	Other	Shift relief required?	Meal/ break required?	Total staff per 24 hours	Current SRF (per shift)	Rec. number FTEs
Command posts																	
Major																	
Security Captain																	
Lieutenant: Shift																	
Lieutenant: Operations																	
Lieutenant Administrative																	
Sergeant: Shift																	
Sergeant ABCD																	
Sergeant EFGH																	
Sergeant IJKL																	
Sergeant: Support Services																	
Sergeant: Activity																	
Sergeant: Work Crews																	
Total Command																	
Correctional Officer posts																	
Main control																	
Armory, keys, restraints, fire																	
Property																	
Perimeter																	
Main gate																	
Vehicle sallyport																	
Transportation coordination																	
Transportation unit																	
Mail and property																	
Kitchen																	
Clinic																	
Commissary																	
Visitation																	
Education, vocational training																	
Yard																	
Escort																	
Work crew																	
Housing Officer A Unit																	
Housing Officer B Unit																	
Housing Officer C Unit																	
Housing Officer D Unit																	
Housing Officer E Unit																	
Housing Officer F Unit																	
Admin. seg./disciplinary unit																	
Total Correctional Officers																	

Form D: Post Evaluation and Planning Instrument
Part 2. Recommended Post Plan

Post	Attributes					Officers per Shift								Computation				
19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37
	Attached Mod./Code	Function	Rank	Priority	Number of days	Office hours	Day shift, 8 hours	Evening shift, 8 hours	Night shift, 8 hours	Day shift, 12 hours	Night shift, 12 hours	10-hour over-lapping	Other	Shift relief required?	Meal/break required?	Total staff per 24 hours	Rec. SRF (per shift)	Rec. number FTEs
Command posts																		
Major																		
Security Captain																		
Lieutenant: Shift																		
Lieutenant: Operations																		
Lieutenant Administrative																		
Sergeant: Shift																		
Sergeant ABCD																		
Sergeant EFGH																		
Sergeant IJKL																		
Sergeant: Support Services																		
Sergeant: Activity																		
Sergeant: Work Crews																		
Total Command																		
Correctional Officer posts																		
Main control																		
Armory, keys, restraints, fire																		
Property																		
Perimeter																		
Main gate																		
Vehicle sallyport																		
Transportation coordination																		
Transportation unit																		
Mail and property																		
Kitchen																		
Clinic																		
Commissary																		
Visitation																		
Education, vocational training																		
Yard																		
Escort																		
Work crew																		
Housing Officer A Unit																		
Housing Officer B Unit																		
Housing Officer C Unit																		
Housing Officer D Unit																		
Housing Officer E Unit																		
Housing Officer F Unit																		
Admin. seg./disciplinary unit																		
Total Correctional Officers																		

Form E: Recommended Post Modification

| Instructions:	Enter the post to be modified. If the change affects the characteristics of the post, enter the current characteristic in the "From" row and the recommended modification in the "To" row. To explain any modification to the post, enter the modification code from the key at the bottom of the form and enter narrative in the space provided.

Name of Facility	Area of Prison	Date

Name of Analyst	Interviewee

Specification of Posts	Attributes				Shifts									Relief		
Post to be Modified	Function	Rank	Priority	Number of days filled	Office hours	Day 8 hours	Evening 8 hours	Night 8 hours	Day 12 hours	Night 12 hours	10 hour	Other		Shift relief	Meal/ break	
From																
To																

Mod. Code	Comments

(See table below for modification codes.)

Mod. Code	Comments

(See table below for modification codes.)

Mod. Code	Comments

(See table below for modification codes.)

Mod. Code	Comments

(See table below for modification codes.)

Mod. Code	Comments

(See table below for modification codes.)

Modification Code Key:						
A. Characteristics/ Functions	**B. Workload**	**C. Safety**	**D. Inmates**	**E. Special**	**F. Issues**	**G. Post**
A1 - Function A2 - Rank A3 - Priority A4 - Days filled A5 - Shift A6 - Relief A7 - Meals	B1 - Schedule B2 - Activities B3 - Programs B4 - Movement B5 - Documentation B6 - Other	C1 - Backup C2 - Equipment C3 - Technological C4 - Physical plant C5 - Sight lines C6 - Other	D1 - Number D2 - Gender D3 - Custody D4 - Special D5 - Other	E1 - Screening E2 - Testing E3 - Training E4 - No rotation E5 - Scheduling E6 - Relation to other post	F1 - Contract F2 - Union F3 - Court	G1 - Delete G2 - Add G3 - Civilianize G4 - Contract G5 - Pull/collapse G6 - Change duties

Form F: Total Staff Required and Total Cost by Security Rank

A	B	C	D
Security Rank	**Total FTE Staff Needed**	**Average Salary Plus Benefits ($)**	**Total Cost by Classification ($)**
Major			
Captain			
Lieutenant			
Sergeant			
Correctional Officer			
Total			

FTE = full-time equivalent

SAMPLE DESCRIPTION OF A DEPARTMENT OF CORRECTIONS AND ITS FACILITIES

Appendix C. Sample Description of a Department of Corrections and Its Facilities

APPENDIX C

Sample Description of a Department of Corrections and Its Facilities

Located in the Midwest, the Generic Department of Corrections (DOC) is a division of the state's Department of Public Safety. The department operates five correctional facilities with a combined operational capacity of 5,618. The average daily population (ADP) of inmates for the entire department during the past 12 months was 6,163 (610 women and 5,553 men). The characteristics of the department's correctional facilities are described in detail below. Although the department is not currently operating under a court decree, a previous case (*Someone* v. *State*) relates to conditions of confinement, staffing levels for mental health and medical staff, and programming space for female prisoners.

Agency Security and Custody Levels

The security levels of the DOC facilities are rated according to standard security parameters: perimeter security, existence and operation of watch towers, external patrols, perimeter detection devices, and housing configuration and construction. The institutional security rating scale includes maximum, close, medium, and minimum. Security procedures and restraints are administered by policy to reduce risk accordingly.

Prisoners are classified according to objective instruments that consider severity and extent of criminal history; severity and frequency of institutional misbehavior; stability factors (age, education, employment history, and substance abuse), and participation in institutional work/programming. Based on their scores, prisoners are assigned a custody level. The DOC houses its male prisoner population according to custody level, and housing assignments are designed to keep male prisoners of different custody levels separate from one another as much as possible. In the women's institution, however, medium-custody prisoners may be housed with either close- or minimum-custody prisoners. Maximum-custody and special population females are housed separately. The special needs of some prisoners, male and female, override their classification scores, and they are housed separately. Special needs prisoners include those who require safekeeping, persons with chronic and acute medical conditions, those with mental illnesses (including suicidal tendencies), those who require protection from other prisoners, and those in disciplinary segregation.

Exhibit 1. Profile of Correctional Facilities in the Generic Department of Corrections

Characteristic	Facility 1	Facility 2	Facility 3	Facility 4	Facility 5
Operational capacity	1,358	630	2,432	710	488
Average daily population	1,413	832	2,489	819	610
Security level	Maximum	Medium	Close	Medium	Maximum
Year opened	1991	1998	1968	1998	1962
Inmate housing (%)					
Single cells	4%	5%	35%	10%	15%
Double cells	55%	25%	40%	33%	35%
Dorm beds	41%	70%	25%	57%	50%
Total institutional staff	466	223	710	266	248
Male security	301	163	428	185	42
Female security	100	36	147	38	149
Population characteristics					
Average age (years)	33.4	33.5	34.5	32.4	36.2
Gender	Male	Male	Male	Male	Female
Medical (beds)	56	10	76	10	40
Mental health (beds)	34	6	12	6	26
Custody level (%)					
Minimum	10%	50%	25%	50%	35%
Medium	15%	50%	25%	50%	50%
Close	55%	0%	50%	0%	10%
Maximum	20%	0%	0%	0%	5%
Critical incidents (12 months)					
Prisoner-staff assaults	77	2	14	1	17
Officer injuries	41	0	7	0	1
Suicide attempts	10	1	3	0	7
Suicides	1	0	0	0	0
Escapes	0	0	0	2*	0
Attempted escapes	0	0	0	0	2
Prisoner fights	213	12	115	9	14
Prisoner injuries	216	4	54	3	1
Disciplinary reports	3,109	1,144	5,737	1,126	1,055
Dangerous contraband	195	2	107	4	3

* Two prisoners walked away from a community-based work assignment. They returned the following day.

Facility Characteristics

Exhibit 1 summarizes the characteristics of the five facilities operated by the DOC. Each facility is described in more detail below. Services, activities, and programs common to all facilities include the following:

- Prisoners receive food, laundry, mail, commissary, health care (by contract with prison medical services), and mental health services and have access to telephones and recreational activities, among other services.

- Facilities provide equipment for shaving and regular haircuts and, for female prisoners, cosmetology equipment.

- All facilities hold Alcoholics Anonymous (AA), Narcotics Anonymous (NA), and parenting programs among their individual offerings.

- In each facility, two full-time chaplains and numerous volunteers provide religious services. Religious services, activities, and counseling are offered as well as religious literature.

Facility 1

The mission of this maximum-security facility is to house all custody levels of male prisoners and to serve as the intake and reception center for male prisoners. A small cadre of minimum- and medium-custody prisoners are responsible for institutional maintenance, kitchen services, and landscaping. Prisoners are physically separated by custody level and status (intake versus general population). The facility has medical and mental health units that serve both the intake and general populations. Because it is the reception and diagnostic center, occasionally offenders will be placed there for safekeeping and/or a psychological assessment. Ten prisoners currently in the facility have been diagnosed with HIV; however, they are integrated into the general population. During the past 12-month period, 2,306 male prisoners were admitted through the reception center. The average length of stay at this facility is 42 days for the reception population and 4.43 years for the general population.

Additions to/variations from the services and programs common to all agency facilities are as follows:

- Visitation is allowed through video, with the exception of attorney-client visits. Intake prisoners cannot receive visitors until the classification process is complete.

- Programming includes anger management and cognitive learning classes.

- Education is provided on a limited basis.

- All prisoners are assigned to a job or program.

Facility 2

The mission of this medium-security facility is to house general population medium- and minimum-custody male prisoners. It provides work, education, and programming for these prisoners, who are physically separated by custody level and, to some extent, by work/program assignment (e.g., inside versus outside work assignment, substance abuse treatment program, kitchen workers, honor dormitory). This facility uses unit management, in which correctional officers participate in the development of treatment plans for the prisoners. The few medical and mental health beds in the facility are not used for long-term mental health services or chronically ill prisoners. Prisoners are required to have passes, but not escorts, to move around within the facility. The average length of stay at this facility is 20.1 months.

Additions to/variations from the services and programs common to all agency facilities are as follows:

- This facility's mental health services are provided by contract with Brighter Horizons.

- Visitation hours are held twice a week: Wednesday evenings and Sunday afternoons/evenings. Attorney-client visits are unlimited.

- Available programs include the Recovery Awareness Program (a 48-bed residential treatment program), Addiction Process Group Project, parenting classes, sex offender treatment programming, and cognitive learning strategies.

- Adult basic education (ABE) and general equivalency diploma (GED) education classes are offered.

- Vocational programs include furniture construction, auto mechanics, and small-engine repairs. This facility repairs and services all DOC vehicles.

- Work assignments include institutional maintenance/cleaning, landscaping, and gardening. (The facility has a vegetable garden and an apple orchard.) Work crews from this facility participate in public services works within the community.

Facility 3

This high-security facility houses general population close-, medium-, and minimum-custody male prisoners, who are physically separated by custody level. Medical and mental health units serve the general population. Approximately 13 percent of the population receives daily medications for mental health and/or medical conditions. During the past 12 months, the average length of stay at this facility was 37.5 months.

Additions to/variations from the services and programs common to all agency facilities are as follows:

- Visitation hours are held twice a week, Thursday evening and Saturday morning, via video and face-to-face meeting. All attorney-client visits are in person. Prisoners on disciplinary segregation do not receive visits.

- Program delivery includes the Recovery Awareness Program (a 128-bed residential treatment program) and anger management, sex offender treatment programming, and cognitive learning classes.

- ABE and GED classes are offered.

- All prisoners are assigned to a job or program.

Facility 4

This medium-security facility houses general population medium- and minimum-custody male prisoners. Its mission, like that of facility 2, is to provide work, education, and programming for male prisoners. Prisoners are physically separated by custody level and, to some extent, by work/program assignment (e.g., inside versus outside work assignment, substance abuse treatment program, kitchen workers, and 32-bed honor dormitory). The few medical and mental health beds are not used for long-term mental health services or for chronically ill prisoners. Prisoners are required to have passes, but not escorts, to move around within the facility. During the past 12 months, the average length of stay at this facility was 20.3 months.

Additions to/variations from the services and programs common to all agency facilities are as follows:

- This facility's mental health services are provided by contract with Brighter Horizons.

- Visitation hours are held twice a week: Tuesday evenings and Sunday afternoons/evenings. Attorney-client visits are unlimited.

- Programs include the Recovery Awareness Program (a 48-bed residential treatment program), AA, NA, Addiction Process Group Project, parenting, sex offender treatment programming, and cognitive learning strategies.

- ABE and GED classes are offered.

- Vocational programs include manufacturing of dental products and eyeglasses, metalworking (e.g., signs, plates, etc. for the state and municipalities), and farming (primary products are corn, beef, and dairy products).

- Work crews from this facility participate in public services works within the community. Work assignments include institutional maintenance/cleaning, landscaping, and vegetable gardening.

Facility 5

This maximum-security facility serves as the primary correctional facility for female offenders. (The department contracts for minimum-custody beds at the local prerelease center.) The facility houses all custody levels and special populations and serves as the intake and reception center for female prisoners. Prisoners are physically separated by status (intake versus general population) but not by custody level. Maximum-custody inmates are housed separately, but medium-custody inmates are housed with either close-custody or minimum-custody inmates. The medical and mental health units serve both the intake and general populations. As the reception and diagnostic center, the facility occasionally houses offenders for safekeeping and/or psychological assessment. During the past 12 months, 383 female prisoners were admitted through the reception center, and the average length of stay was 19.1 months.

Additions to/variations from the services and programs common to all agency facilities are as follows:

- Visitation hours are held 3 days per week: Tuesday and Thursday evenings and Sunday. Intake prisoners do not receive visits until the classification process is complete.

- Programs include substance abuse treatment (48-bed residential treatment) battered woman/trauma-coping strategies, and life skills, anger management, and cognitive learning classes.

- ABE and GED classes are offered.

- Vocational programs include automated telephone services for the Department of Motor Vehicles, work in the sewing factory, guide dog training, and computer programming and repairs. All prisoners are assigned to a job or program.

- Work crews from this facility participate in public services works within the community. Work assignments include institutional maintenance/cleaning, landscaping, and vegetable gardening.

Facility Designs

The department's facilities follow three basic designs (attachments 1–3). Attachment 1 represents the design for facilities 1, 3, and 4; attachment 2 is the design for facility 2; and attachment 3 is the design for facility 5.[1]

Facilities 1, 3, and 4

The design of facilities 1, 3, and 4 is in a footprint bounded by six adjoining double fences monitored by perimeter detection devices and breached with sallyports in three places, one of which is the administration building. The area in which the buildings are located is further enclosed with interior fences. The core houses service and program areas, with the exception of industries and maintenance shops, which are located in a fenced area adjacent to the main area of buildings. The housing is podular, with each pod divided into six cellblocks and a recreation area, all of which abut the control center. Each cellblock was designed with 16 cells, one occupant per cell. Each pod was designed to house 96 prisoners. The population numbers exceeded that capacity before the state took occupancy. The state waived chapter 33–8, which pertains to square footage per occupant, to allow double bunking to accommodate the rising numbers of prisoners. Even with this concession, the numbers rapidly increased beyond the doubled capacity.

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[1] Because this is a sample description, attachments are not shown and only the first design is described below. An actual profile of an agency's facilities would describe all facility designs and include the identified attachments.

Example of a Housing Unit Assignment Plan for the Design of Facilities 1, 3, and 4

Facilities 1, 3, and 4 house male prisoners.

- **A Pod:** This housing unit has a capacity of 190 beds designated for medium-custody prisoners. Prisoners are not in their cells/unit for most of the day. They are either working or assigned to programs.

- **B Pod:** This housing unit has a capacity of 186 beds that are separated into two blocks of maximum-custody prisoners, three blocks of intake beds (including glass-enclosed observation cells), and one block for disciplinary and protective-custody prisoners. There is no out-of-cell activity other than showering and exercising in a small fenced-in area outside, immediately adjacent to the pod.

- **C Pod:** This housing unit has a capacity of 190 beds that are separated into two blocks of general population, one block of male trusties, one block for special needs prisoners (including glass-enclosed observation cells), and two medical blocks of mixed classifications. Prisoners in general population status and trusties are in work assignments or programs during the day, while special needs prisoners are occupied with intensive programming and highly supervised recreation.

- **D Pod:** This housing unit has a capacity of 190 beds that are separated into four blocks of close-custody prisoners (intake population) and two blocks of medium-custody prisoners.

Current Relief Factor Information

A shift relief factor has not been calculated for the agency or any of its facilities. The rule of thumb in staffing for all agency facilities is that for 7-day coverage on one shift, the requirement for staff is 1.7, but the agency has not been funded according to that factor.

Problems With Facility Operations in the Past Year

The maximum-security facilities have experienced a rise in violence, both prisoner-on-prisoner and prisoner-on-staff. Budget overruns are found throughout the agency due to overtime, probably generated by overuse of sick leave, injury leave, and light duty. A gradual increase in the prisoner population has resulted in budget overruns in food, laundry, medical, and mental health services, particularly for the women's facility.

The Governor's office has informed the department that there will be a 2-percent reduction in the budget for the next two cycles.

Issues To Be Addressed by the Staffing Analysis

A security staffing analysis is required to address the budget cuts mandated by the Governor's office. At least $500,000 will need to be cut from the personal services line to meet the Governor's budget allocation. Staffing for housing and transportation units will need to be carefully scrutinized to ensure that the safety and security of the facilities are maintained.

The recent increase in violence and contraband within the maximum-security facilities will have to be addressed by finding ways to enhance the efficiency and effectiveness of staffing for preventing assaults. At the same time, the agency administrator is committed to maintaining and even expanding the use of unit management in all housing units.

Possible Attachments To Include With a Description of Agency/Facility Characteristics

- Copies of facility designs (floor plans)
- Copy of agency's mission statement, goals, objectives
- Organization chart
- Current staffing analysis report
- Master and daily rosters
- Schedules and cycles
- Staff grievance summaries for each facility
- Personnel agreements, union contracts
- State and national standards
- Copies of applicable court decisions
- Annual inspection reports for each facility
- Copies of service contracts in effect

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